

Program: 811-S													
Term: August 25, 2017 to May 31, 2019													
TITLE: SOCOAL SECURITY ADMINISTRATION (SSA)													
			PINNACLE			Gray Graphics		IMS, Inc.		SOURCELINK, OH		NPC, Inc.	
			Suwanee, GA		Capitol Heights, MD		Liverpool, NY		Miamisburg, OH		Claysburg, PA		
ITEM NO.	DESCRIPTION	BASIS OF AWARD	UNIT RATE	COST	UNIT RATE	COST	UNIT RATE	COST	UNIT RATE	COST	UNIT RATE	COST	
<b>I. COMPOSITION:</b>													
(a)	Per Page .....	96	No Charge	No Charge	50.00	4,800.00	50.00	4,800.00	200.00	19,200.00	75.00	7,200.00	
<b>II. PRE-PRODUCTION TESTS:</b>													
(a)	Transmission Test, .....per test	1	No Charge	No Charge	500.00	500.00	2,500.00	2,500.00	No Charge	No Charge	No Charge	No Charge	
(b)	Preproduction Validation Test.....per test	14	1,000.00	14,000.00	1,000.00	14,000.00	150.00	2,100.00	1,000.00	14,000.00	No Charge	No Charge	
<b>III. PRINTING, VARIABLE IMAGING, BINDING, &amp; CONSTRUCTION:</b>													
(a)	*Make-ready/setup charge.....	14	No Charge	No Charge	300.00	4,200.00	75.00	1,050.00	250.00	3,500.00	750.00	10,500.00	
(b)	Notices: Printing/imaging in black, including binding.....per 1,000 pages.....	16000	12.00	192,000.00	18.50	296,000.00	50.00	800,000.00	9.89	158,240.00	6.53	104,480.00	
(c)	Notices: Printing in black ink and one Pantone color, and imaging in black, including binding.....per 1,000 pages.....	1000	18.00	18,000.00	48.00	48,000.00	60.00	60,000.00	22.22	22,220.00	79.56	79,560.00	
(d)	BRM/CRM Non-Window Reply Envelopes: Printing in black ink, including construction..... per 1,000 envelopes.....	600	14.50	8,700.00	45.00	27,000.00	14.00	8,400.00	7.38	4,428.00	13.83	8,298.00	
(e)	BRM/CRM Window Reply Envelopes: Printing in black ink, including construction.....per 1,000 envelopes.....	165	14.50	2,392.50	55.00	9,075.00	14.00	2,310.00	9.90	1,633.50	17.49	2,885.85	
(f)	Mail-out Envelope Single Window Envelopes: Printing in black ink including construction.....per 1,000 envelopes.....	800	14.50	11,600.00	60.00	48,000.00	15.00	12,000.00	15.00	12,000.00	13.46	10,768.00	
(g)	Mail-out Dual Window Envelope: Printing in black ink, including construction.....per 1,000 envelopes.....	1200	14.50	17,400.00	100.00	120,000.00	15.00	18,000.00	19.58	23,496.00	17.40	20,880.00	
(h)	Spraying/Imaging of return addresses, ancillary, or other markings on Mail-out Envelopes.....per 1,000 envelopes.....	800	15.00	12,000.00	40.00	32,000.00	15.00	12,000.00	10.00	8,000.00	No Charge	No Charge	
<b>IV. PAPER: Per 1,000 Leaves:</b>													
(a)	Notices: White Offset Book 50 lbs., or White Writing 20 lbs.....	8500	7.00	59,500.00	9.00	76,500.00	6.00	51,000.00	7.28	61,880.00	9.66	82,110.00	
(b)	White Writing 20 lbs. or White Offset Book 50 lbs.....	765	No Charge	No Charge	20.00	15,300.00	14.00	10,710.00	11.06	8,460.90	10.50	8,032.50	
(c)	White Writing or Wove 24 lbs. or White Offset Book 60 lbs....	2000	No Charge	No Charge	24.00	48,000.00	35.00	70,000.00	15.00	30,000.00	14.40	28,800.00	
<b>V. GATHERING, INSERTING, PACKING, &amp; MAILING:</b>													
(a)	Packing and sealing shipping container.....per shipping container.....	250	5.00	1,250.00	3.00	750.00	10.00	2,500.00	3.50	875.00	3.65	912.50	
(b)	Complete Mailer.....per 1,000 mailers.....	2000	10.00	20,000.00	175.00	350,000.00	20.00	40,000.00	17.50	35,000.00	41.85	83,700.00	
<b>VI. CERTIFIED/REGISTERED MAIL:</b>													
(a)	Certified/Registered mailing.....per 1,000 mailers.....	3	500.00	1,500.00	1,000.00	3,000.00	600.00	1,800.00	899.10	2,697.30	1,200.00	3,600.00	
<b>CONTRACTOR TOTALS</b>				<b>\$358,342.50</b>		<b>\$1,097,125.00</b>		<b>\$1,099,170.00</b>		<b>\$405,630.70</b>		<b>\$451,726.85</b>	
<b>DISCOUNT</b>				1.00%	<b>\$3,583.43</b>	1.00%	<b>\$10,971.25</b>	0.00%	<b>\$0.00</b>	0.00%	<b>\$0.00</b>	0.25%	<b>\$1,129.32</b>
<b>DISCOUNTED TOTALS</b>				<b>\$354,759.07</b>		<b>\$1,086,153.75</b>		<b>\$1,099,170.00</b>		<b>\$405,630.70</b>		<b>\$450,597.53</b>	
				<b>AWARDED</b>									

U.S. GOVERNMENT PUBLISHING OFFICE  
Washington, DC

GENERAL TERMS, CONDITIONS, AND SPECIFICATIONS

For the Procurement of

**Miscellaneous Notices**

as requisitioned from the U.S. Government Publishing Office (GPO) by the  
Social Security Administration (SSA)

Single Award

**TERM OF CONTRACT:** The term of this contract is for the period beginning Date of Award and ending May 31, 2019, plus up to three (3) optional 12-month extension period(s) that may be added in accordance with the "OPTION TO EXTEND THE TERM OF THE CONTRACT" clause in SECTION 1 of this contract.

**NOTE:** Contractor interfacing with SSA's National File Transfer Management System (FTMS) for electronic transmission of files from SSA to the production facility will take place from Date of Award (or from completion date of transmission connectivity)) through May 31, 2018 for transmission of test files; first production order will be issued on or around June 1, 2018. The first contract year will be approximately 21 months.

**BID OPENING:** Bids shall be publicly opened at 11:00 a.m., prevailing Washington, DC time, on August 25, 2017.

**BID SUBMISSION:** Submit bid in pre-addressed envelope furnished with solicitation or send to: U.S. Government Publishing Office, Bid Section, Room C-848, Stop: CSPS, 732 North Capitol Street, NW, Washington, DC 20401. Facsimile bids in response to this solicitation are permitted. Facsimile bids may be submitted directly to the GPO Bid Section, Fax No. (202) 512-1782. The program number and bid opening date must be specified with the bid. Refer to Facsimile Bids in Solicitation Provisions of GPO Contract Terms, GPO Publication 310.2, as revised June 2001. Hand delivered bids are to be taken to: GPO Bookstore, 710 North Capitol Street, NW, Washington, DC, between the hours of 8:00 a.m. and 4:00 p.m., prevailing Washington, DC time, Monday through Friday. Contractor is to follow the instructions in the bid submission/opening area. If further instruction or assistance is required, call (202) 512-0526.

**BIDDERS, PLEASE NOTE:** This program was formerly Program 221-S. The specifications have been extensively revised; therefore, all bidders are cautioned to familiarize themselves with all provisions of these specifications before bidding.

Abstracts of contract prices are available at <http://www.gpo.gov/gpo/abstracts/abstract.action?region=Central>.

For information of a technical nature, contact Jim Ballou at [jballou@gpo.gov](mailto:jballou@gpo.gov) or (202) 512-0310.

## SECTION 1. - GENERAL TERMS AND CONDITIONS

**GPO CONTRACT TERMS:** Any contract which results from this Invitation for Bid will be subject to the applicable provisions, clauses, and supplemental specifications of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 6-01)) and GPO Contract Terms, Quality Assurance through Attributes Program for Printing and Binding (GPO Publication 310.1, effective May 1979 (Rev. August 2002)).

GPO Contract Terms (GPO Publication 310.2) – <http://www.gpo.gov/pdfs/vendors/sfas/terms.pdf>.

GPO QATAP (GPO Publication 310.1) – <http://www.gpo.gov/pdfs/vendors/sfas/qatap.pdf>.

**DISPUTES:** GPO Publication 310.2, GPO Contract Terms, Contract Clause 5. Disputes, is hereby replaced with the June 2008 clause found at [www.gpo.gov/pdfs/vendors/contractdisputes.pdf](http://www.gpo.gov/pdfs/vendors/contractdisputes.pdf).

**SUBCONTRACTING:** The predominant production functions are the laser/ion deposition of data at a minimum of 600 x 600 dpi for the printing/imaging of notices and the inserting of items into mail-out envelopes. Any bidder who cannot perform the predominant production functions will be declared non-responsible.

The contractor shall be responsible for enforcing all contract requirements outsourced to a subcontractor

If the presorting and mailing is subcontracted, the subcontractor must complete and pass the same security clearances as the prime contractor.

If the contractor needs to add a subcontractor at any time after award, the subcontractor must be approved by the Government prior to production starting in that facility. If the subcontractor is not approved by the Government, the contractor must submit new subcontractor's information to the Government for approval 30 calendar days prior to the start of production at that facility.

NOTE: If the contractor plans to enter into a "Contractor Team Arrangement" or Joint Venture to fulfill any requirements of this contract, they must comply with the terms and regulations as detailed in the Printing Procurement Regulation (GPO Publication 305.3 (Rev. 2-11)).

**QUALITY ASSURANCE LEVELS AND STANDARDS:** The following levels and standards shall apply to these specifications:

Product Quality Levels:

- (a) Printing (page related) Attributes – Level III.
- (b) Finishing (item related) Attributes – Level III.

Inspection Levels (from ANSI/ASQC Z1.4):

- (a) Non-destructive Tests - General Inspection Level I.
- (b) Destructive Tests - Special Inspection Level S-2.

Specified Standards: The specified standards for the attributes requiring them shall be:

<u>Attribute</u>	<u>Specified Standard</u>
P-7. Type Quality and Uniformity	O.K. Press Sheets
P-9. Solid and Screen Tint Color Match	O.K. Press Sheets

Special Instructions: In the event that inspection of press sheets is waived by the Government, the following listed alternate standards (in order of precedence) shall become the Specified Standards:

- P-7. Approval on prior to production tests, O.K. proofs, average type dimension, electronic media, camera copy, manuscript copy.
- P-9. Pantone Matching System,

**OPTION TO EXTEND THE TERM OF THE CONTRACT:** The Government has the option to extend the term of this contract for a period of 12 months by written notice to the contractor not later than 30 days before the contract expires. If the Government exercises this option, the extended contract shall be considered to include this clause, except, the total duration of the contract may not exceed five (5) years as a result of, and including, any extension(s) added under this clause. Further extension may be negotiated under the “EXTENSION OF CONTRACT TERM” clause. See also “ECONOMIC PRICE ADJUSTMENT” for authorized pricing adjustment(s).

**EXTENSION OF CONTRACT TERM:** At the request of the Government, the term of any contract resulting from this solicitation may be extended for such period of time as may be mutually agreeable to the GPO and the contractor.

**ECONOMIC PRICE ADJUSTMENT:** The pricing under this contract shall be adjusted in accordance with this clause, provided that in no event will any pricing adjustment be made that would exceed the maximum permissible under any law in effect at the time of the adjustment. There will be no adjustment for orders placed during the first period specified below. Pricing will thereafter be eligible for adjustment during the second and any succeeding performance period(s). For each performance period after the first, a percentage figure will be calculated as described below and that figure will be the economic price adjustment for that entire next period. Pricing adjustments under this clause are not applicable to reimbursable postage or transportation costs, or to paper, if paper prices are subject to adjustment by separate clause elsewhere in this contract.

For the purpose of this clause, performance under this contract will be divided into successive periods. The first period will extend from Date of Award to May 31, 2019, and the second and any succeeding period(s) will extend for 12 months from the end of the last preceding period, except that the length of the final period may vary. The first day of the second and any succeeding period(s) will be the effective date of the Economic Price Adjustment for that period.

Pricing adjustments in accordance with this clause will be based on changes in the seasonally adjusted “Consumer Price Index For All Urban Consumers - Commodities Less Food” (Index) published monthly in the CPI Detailed Report by the U.S. Department of Labor, Bureau of Labor Statistics.

***NOTE: The term of the first contract year (base year) is expected to be approximately 21 months; however, the Economic Price Adjustment will be based on the date of actual production. Actual production begins June 1, 2018.***

The economic price adjustment will be the percentage difference between Index averages as specified in this paragraph. An index called the variable index will be calculated by averaging the monthly Indexes from the 12-month interval ending three (3) months prior to the beginning of the period being considered for adjustment. This average is then compared to the average of the monthly Indexes for the 12-month interval ending February 28, 2018, called the base index. The percentage change (plus or minus) of the variable index from the base index will be the economic price adjustment for the period being considered for adjustment.

The Government will notify the contractor by contract modification specifying the percentage increase or decrease to be applied to invoices for orders placed during the period indicated. The contractor shall apply the percentage increase or decrease against the total price of the invoice less reimbursable postage or transportation costs and separately adjusted paper prices. Payment discounts shall be applied after the invoice price is adjusted.

**PAPER PRICE ADJUSTMENT:** Paper prices charged under this contract will be adjusted in accordance with “Table 9 - Producer Price Indexes and Percent Changes for Commodity Groupings and Individual Items” in Producer Price Indexes report, published by the Bureau of Labor Statistics (BLS), as follows:

***NOTE: For the purpose of this contract, the Paper Price Adjustment will be based on the date of actual production. Actual production begins June 1, 2018.***

1. BLS code 0913-01 for Offset and Text will apply to all paper required under this contract.
2. The applicable index figures for the month of May 2018 will establish the base index.
3. There shall be no price adjustment for the first three production months of the contract.
4. Price adjustments may be monthly thereafter, but only if the index varies by an amount (plus or minus) exceeding 5% by comparing the base index to the index for that month which is two months prior to the month being considered for adjustment.
5. Beginning with order placement in the fourth month, index variances will be calculated in accordance with the following formula:

$$\frac{X - \text{base index}}{\text{base index}} \times 100 = \text{ } \%$$

where X = the index for that month which is two months prior to the month being considered for adjustment.

6. The contract adjustment amount, if any, will be the percentage calculated in 5 above less 5%.
7. Adjustments under this clause will be applied to the contractor’s bid price(s) for Item VI. “PAPER” in the “SCHEDULE OF PRICES” and will be effective on the first day of any month for which prices are to be adjusted.

The Contracting Officer will give written notice to the contractor of any adjustments to be applied to invoices for orders placed during months affected by this clause.

In no event, however, will any price adjustment be made which would exceed the maximum permissible under any law in effect at the time of the adjustment. The adjustment, if any, shall not be based upon the actual change in cost to the contractor, but shall be computed as provided above.

The contractor warrants that the paper prices set forth in this contract do not include any allowance for any contingency to cover anticipated increased costs of paper to the extent such increases are covered by this price adjustment clause.

**SECURITY REQUIREMENTS: Protection of Confidential Information:**

- (a) The contractor shall restrict access to all confidential information obtained from the Social Security Administration in the performance of this contract to those employees and officials who need it to perform the contract. Employees and officials who need access to confidential information for performance of the contract will be determined at the postaward conference between the Contracting Officer and the responsible contractor representative.

- (b) The contractor shall process all confidential information obtained from SSA in the performance of this contract under the immediate supervision and control of authorized personnel, and in a manner that will protect the confidentiality of the records in such a way that unauthorized persons cannot retrieve any such records.
- (c) The contractor shall inform all personnel with access to the confidential information obtained from SSA in the performance of this contract of the confidential nature of the information and the safeguards required to protect this information from improper disclosure.
- (d) For knowingly disclosing information in violation of the Privacy Act, the contractor and the contractor employees may be subject to the criminal penalties as set forth in 5 U.S.C Section 552a (i)(1), which is made applicable to contractors by 5 U.S.C. 552a (m)(1) to the same extent as employees of the SSA. For knowingly disclosing confidential information as described in section 1106 of the Social Security Act (42 U.S.C. 1306), the contractor and contractor's employees may also be subject to the criminal penalties as set forth in that provision.
- (e) The contractor shall assure that each contractor employee with access to confidential information knows the prescribed rules of conduct, and that each contractor employee is aware that he/she may be subject to criminal penalties for violations of the Privacy Act and/or the Social Security Act. When the contractor employees are made aware of this information, they will be required to sign Form SSA-301, Contractor Personnel Security Certification (see Exhibit A). A copy of this signed certification must be forwarded to: SSA, Printing Management Branch, Baltimore, MD (see Exhibit K).
- (f) All confidential information obtained from SSA for use in the performance of this contract shall, at all times, be stored in an area that is physically safe from unauthorized access.
- (g) Performance of this contract may involve access to tax return information as defined in 26 U.S.C. Section 6103(b) of the Internal Revenue Code (IRC). All such information shall be handled as confidential and may not be disclosed without the written permission of SSA. For willingly disclosing confidential tax return information in violation of the IRC, the contractor and contractor employees may be subject to the criminal penalties set forth in 26 U.S.C. Section 7213.
- (h) The Government reserves the right to conduct on-site visits to review the contractor's documentation and in-house procedures for protection of confidential information.
- (i) If a subcontractor is used for the sorting and/or mailing of the notices of this contract, the subcontractor must conform to all security requirements of the contract.

**SSA EXTERNAL SERVICE PROVIDER SECURITY REQUIREMENTS:** This resource identifies the basic information security requirements related to the procurement of Information Technology (IT) services hosted externally to SSA's Network.

See Exhibit L for References for External Service Providers (ESP).

**The following general security requirements apply to all External Service Providers:**

- (a) The solution must be located in the United States, its territories, or possessions.

NOTE: "United States" means the 50 States, the District of Columbia, Puerto Rico, the Northern Mariana Islands, American Samoa, Guam, the U.S. Virgin Islands, Johnston Island, Wake Island, and Outer Continental Shelf Lands as defined in the Outer Continental Shelf Lands Act (43 U.S.C. 1331, et seq.), but does not include any other place subject to U.S. jurisdiction or any U.S. base or possession within a foreign country (29 CFR 4.112).

- (b) Upon request from the SSA Printing Management Branch (Exhibit K), the contractor shall provide access to the hosting facility to the U.S. Government or authorized agents for inspection and facilitate an on-site security risk and vulnerability assessment.
- (c) The solution must meet Federal Information Processing Standards (FIPS) and guidance developed by the National Institute of Science and Technology (NIST) under its authority provided by the Federal Information Security Management Act (FISMA) to develop security standards for federal information processing systems, and Office of Management and Budget's (OMB) Circular A-130 Appendix III.
- (d) Solutions classified as Cloud Service Providers (CSP) must adhere to additional FedRAMP security control requirements. Further information may be found at: <http://www.gsa.gov/portal/category/102371>. As part of these requirements, CSPs must have a security control assessment performed by a Third Party Assessment Organization.

*NOTE: A Third Party Assessment Organization (3PAO) is an organization that has been certified to help cloud service providers and Government agencies meet FedRAMP compliance regulations. Accredited 3PAOs can be found at <https://www.fedramp.gov/marketplace/accredited-3paos/>.*

- (e) Before SSA provides data to the contractor, the contractor shall submit a System Security Plan (SSP) which documents how the solution implements security controls in accordance with the designated FIPS 199 security categorization and the Minimum Security Requirements for Federal Information and Information Systems which requires the use of NIST SP 800-53, or the contractor shall provide a Security Assessment Package (SAP) completed by either an independent assessor or another Federal agency.

*NOTE: An independent assessor is any individual or group capable of conducting an impartial assessment of security controls employed within or inherited by an information system.*

- (f) SSA will consider a self-assessment of security controls for solutions that do not involve sensitive information or Personally Identifiable Information (PII).

*NOTE: PII is any information about an individual maintained by an agency, including: (1) any information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records; and (2) any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.*

References (Refer to the most up to date revision):

- Federal Information Security Management Act (FISMA) of 2002.
- Clinger-Cohen Act of 1996 also known as the "Information Technology Management Reform Act of 1996."
- Privacy Act of 1974 (5 U.S.C. § 552a).
- Homeland Security Presidential Directive (HSPD-12), "Policy for a Common Identification Standard for Federal Employees and Contractors", August 27, 2004.
- Office of Management and Budget (OMB) Circular A-130, "Management of Federal Information Resources", and Appendix III, "Security of Federal Automated Information Systems", as amended.
- OMB Memorandum M-04-04, "E-Authentication Guidance for Federal Agencies."
- FIPS PUB 199, "Standards for Security Categorization of Federal Information and Information Systems."
- FIPS PUB 200, "Minimum Security Requirements for Federal Information and Information Systems."
- FIPS PUB 140-2, "Security Requirements for Cryptographic Modules."
- NIST Special Publication 800-18, "Guide for Developing Security Plans for Federal Information Systems."
- NIST Special Publication 800-30, "Risk Management Guide for Information Technology Security Risk Assessment Procedures for Information Technology Systems."
- NIST Special Publication 800-34, "Contingency Planning Guide for Information Technology Systems."
- NIST SP 800-37 "Guide for the Security Certification and Accreditation of Federal Information Systems."

- NIST Special Publication 800-47, “Security Guide for Interconnecting Information Technology Systems.”
- NIST Special Publication 800-53, “Recommended Security Controls for Federal Information Systems.”
- NIST Special Publication 800-53A, “Guide for Assessing the Security Controls in
- Federal Information Systems, “CIO Council’s Federal Identity, Credential, and Access Management (FICAM) Roadmap and Implementation Guidance”
- NIST Special Publication 800-60
- OMB M-07-16, AIMS Chapter 15: Personally Identifiable Information Loss and Remediation

**PHYSICAL SECURITY:** Contractor’s facilities storing SSA assets and information are required to meet the Interagency Security Committee’s standard for Federal facilities. This information can be found in the “Facility Security Plan: An Interagency Security Committee Guide,” dated February 2015, 1<sup>st</sup> Edition. SSA reserves the right to inspect contractor facilities to ensure compliance with the ISC guidelines. If facilities are found deficient, the contractor must implement corrective actions within 60 calendar days of notification. Requirements can include, but not be limited to, the physical security countermeasures, such as access control systems, closed circuit television systems, intrusion detection systems, and barriers.

NOTE: Contractor must pass all External Service Provider Security and Physical Security requirements as specified above before the Government can award this contract. Any bidder who cannot obtain approval for any of these security requirements within 60 calendar days of approval of production plans and physical security inspection will be declared non-responsible.

**SECURITY WARNING:** It is the contractor’s responsibility to properly safeguard personally identifiable information (PII) from loss, theft, or inadvertent disclosure and to immediately notify the Government of any loss of PII.

NOTE: These requirement applies to all contractor’s facilities (i.e., multiple plants) used for production of the notices.

*All employees working on this contract must:*

- Be familiar with current information on security, privacy, and confidentiality as they relate to the requirements of this contract.
- Obtain pre-screening authorization before using sensitive or critical applications pending a final suitability determination as applicable to the specifications.
- Lock or log off their workstation/terminal prior to leaving it unattended.
- Act in an ethical, informed, and trustworthy manner.
- Protect sensitive electronic records.
- Be alert to threats and vulnerabilities to their systems.
- Prohibited from having any mobile devices or cameras in sensitive areas that contain any confidential materials, including areas where shredding and waste management occurs.

*Managers at the contractor’s facility working on this contract must also:*

- Monitor use of mainframes, PCs, LANs, and networked facilities to ensure compliance with national and local policies, as well as the Privacy Act statement.
- Ensure that employee screening for sensitive positions within their department has occurred prior to any individual being authorized access to sensitive or critical applications.
- Implement, maintain, and enforce the security standards and procedures as they appear in this contract and as outlined by the contractor.
- Contact the security officer within 24 hours whenever a systems security violation is discovered or suspected.

*Applicability:* The responsibility to protect personally identifiable information applies during the entire term of this contract and all option year terms if exercised. The contractor must secure and retain written acknowledgement from their employees stating they understand these policy provisions and their duty to safeguard personally identifiable information. These policy provisions include, but are not limited to, the following:

- Employees are required to have locking file cabinets or desk drawers for storage of confidential material, if applicable.
- Material is not to be taken from the contractor's facility without express permission from the Government.
- Employees must safeguard and protect all Government records from theft and damage while being transported to and from contractor's facility.

*The following list provides examples of situations where PII is not properly safeguarded:*

- Leaving an unprotected computer containing Government information in a non-secure space (e.g., leaving the computer unattended in a public place, in an unlocked room, or in an unlocked vehicle).
- Leaving an unattended file containing Government information in a non-secure area (e.g., leaving the file in a break-room or on an employee's desk).
- Storing electronic files containing Government information on a computer or access device (flash drive, CD, etc.) that other people have access to (not password-protected).

This list does not encompass all failures to safeguard PII but is intended to act as an alert to the contractor's employees to situations that must be avoided. Misfeasance occurs when an employee is authorized to access Government information that contains sensitive or personally identifiable information and, due to the employee's failure to exercise due care, the information is lost, stolen, or inadvertently released.

Whenever the contractor's employee has doubts about a specific situation involving their responsibilities for safeguarding PII, they should consult GPO and/or SSA.

**PUBLIC TRUST SECURITY REQUIREMENTS:** This contract has been designated Public Trust Position Level 5C. Due to the sensitive nature of the information contained in the products produced under this contract, contractor employees performing under this contract will be subject to a thorough civil and criminal background check as detailed in Exhibit B, "Security Requirements."

NOTE: "Performing under this contract" is defined as working on site at either an SSA facility (including visiting the SSA site for any reason) or having access to Government programmatic or sensitive information.

Upon award, the contractor must provide to SSA an applicant listing of all individuals for whom the contractor is requesting a suitability determination (i.e., background investigation).

This listing should include the following:

- the contractor's name
- the contract number
- the contractor's point of contact (CPOC) name
- the CPOC's contact information including email address
- each applicant's full name, Social Security Number (SSN), date of birth, and place of birth (must show city and state if born in the U.S., or city and country if born outside the U.S.)

The background investigation process will not start until the applicant listing is submitted. Contractor to send the applicant listing to the Center for Personnel Security and Project Management (CPSPM) Suitability Team via fax at (410) 966-0640, or via traceable means via common carrier to the Social Security Administration, CPSPM Suitability Team, 2601 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235.

Once SSA receives and reviews the applicant listing, SSA will initiate the Electronic Questionnaire for Investigations Process (e-QIP). SSA will email notification to the CPOC the name of each applicant invited into the e-QIP website to complete their background investigation form. The CPOC will provide the website to the applicants to complete their e-QIP form electronically. The applicant will have up to 14 calendar days following SSA notification to the CPOC of the e-QIP invitations to complete the e-QIP form.

The applicant must print the signature pages of the SF 85P form prior to releasing the application in e-QIP, sign the signature pages, and provide the signed originals to the CPOC. See Exhibit D: Questionnaire for Public Trust Positions - Sample Form SF85P)

*The following is a list of documents the contractor employees will be responsible for completing:*

- Original signed and dated e-QIP signature pages as specified in the above paragraph.
- Two (2) "Fingerprint Cards" (FD-258). See Exhibit C. NOTE: The contractor will absorb the costs for obtaining fingerprints.
- One (1) "Declaration for Federal Employment" (Optional Form 306). See Exhibit E.
- One (1) "Fair Credit Reporting Act Authorization Form." See Exhibit F.
- For a non-U.S. citizen, one (1) legible photocopy of the work authorization permit and social security card.

The CPOC must ensure all paper forms are fully completed and signed prior to submission to SSA. All forms and fingerprinting cards must be submitted at least 15 workdays prior to the date work is to begin on the contract. Fingerprint cards and all paper forms must be legible or typed in black ink and all signatures must be in black ink. There must be no "breaks" in residences or employment. SSA requires complete addresses, including zip codes and phone numbers with area codes. SSA must receive forms and fingerprint cards within 30 calendar days after notification of the e-QIP invitation. It is the responsibility of the contractor to ensure fingerprint cards are processed through their local police departments or other authorized finger printers. SSA will return incomplete forms back to the contractor. Forms may be obtained by calling SSA Personnel Security Suitability Program Officer (SPO).

The CPOC will submit one cover sheet containing the names of all of the individuals for whom the contractor is submitting completed paperwork. This cover sheet should include the contract number, each applicant's full name, each applicant's Social Security Number (SSN), each applicant's date of birth, and each applicant's place of birth. The CPOC will submit this cover sheet along with the completed paper forms and two FD-258 fingerprint charts for each applicant via traceable means via common carrier to: SSA, CPSPM Suitability Team, 2601 Annex Building, 6401 Security Boulevard, Baltimore, MD 21235.

The CPOC will also email a copy of the cover sheet to the Contracting Officer Technical Representative (COTR) to the email address shown in the above paragraph. Before forwarding, the CPOC will remove all personal information from the applicant list (SSN, date of birth, and place of birth).

**NOTE: IT IS THE RESPONSIBILITY OF THE CPOC TO ENSURE CLEARANCES ARE OBTAINED PRIOR TO ANY CONTRACT TESTING.**

Contractors may call the e-QIP Help Line at 1-844-874-9940 for any e-QIP related issues.

The CPOC will follow this instruction for new contract employees hired during the contract term.

**SUITABILITY DETERMINATION:** A Federal Bureau of Investigation fingerprint check is part of the basis used for making a suitability determination. This determination is final unless information obtained during the remainder of the full background investigation, conducted by the Office of Personnel Management, is such that SSA would find the contactor personnel unsuitable to continue performing under this contract. CPSPM will notify the CPOC, COTR, and Contracting Officer of the result of these determinations.

**PREAWARD SURVEY:** In order to determine the responsibility of the prime contractor or any subcontractor, the Government reserves the right to conduct an on-site preaward survey of all of the contractor's computer, printing, and mailing equipment which will be used on this contract or to require other evidence of technical, production, managerial, financial, and similar abilities to perform, prior to the award of a contract.

The preaward survey will include a review of: all subcontractors involved, along with their specific functions; and the contractor's/subcontractor's mail, material, personnel, production, quality control/recovery program, security, and backup facility plans, as required by this specification.

If award is predicated on the purchase of production and/or systems equipment, the contractor must provide purchase order(s) with delivery date(s) of equipment to arrive, be installed, and be fully functional at least 90 calendar days prior to the start of live production.

**PRODUCTION PLANS:** The contractor shall present, in writing, to the Contracting Officer within five (5) workdays of being notified to do so by the Contracting Officer or his/her representative, detailed plans for each of the following activities. The workday after notification to submit will be the first day of the schedule. If the Government requests additional information after review of plans, the contractor must submit updated plans within two (2) workdays of request.

**THESE PROPOSED PLANS ARE SUBJECT TO REVIEW AND APPROVAL BY THE GOVERNMENT, AND AWARD WILL NOT BE MADE PRIOR TO APPROVAL OF SAME. THE GOVERNMENT RESERVES THE RIGHT TO WAIVE SOME OR ALL OF THESE PLANS.**

**If the contractor intends to use multiple plants, the production plans must indicate which plants will be used and the quantity to be produced in each plant. This requirement applies to all Security requirements, tests, and live production.**

**Backup Facility** – The failure to deliver the products required under this specification in a timely manner would have an impact on the daily operations of SSA. Therefore, if for any reason(s) (act of God, labor disagreements, etc.) the contractor is unable to perform at said locations for a period longer than five (5) workdays, contractor must have a backup facility with the capability of producing the products required under this specification.

Plans for their contingency production must be prepared and submitted to the Contracting Officer as part of the preaward survey. These plans must include the location of the facility to be used, equipment available at the facility, and a timetable for the start of production at that facility.

Part of the plan must also include the transportation of Government materials from one facility to another. SSA has the option to install a VPN into the contractor's backup facility.

NOTE: All terms and conditions of this contract will apply to the backup facility. Due to the time sensitive nature of the notices produced on this contract, the contractor must maintain the original schedule set forth in this contract.

**Quality Control Plan** – The contractor shall provide and maintain, within their own organization, an independent quality assurance organization of sufficient size and expertise to monitor the operations performed and inspect the products of each operation to a degree and extent that will ensure the Government’s quality assurance, inspection, and acceptance provisions specified herein are met. The contractor shall perform, or have performed, the process controls, inspections, and tests required to substantiate that the products provided under this contract conform to the specifications and contract requirements. The contractor shall describe in detail their quality control/quality assurance and recovery plans describing how, when, and by whom the plans will be performed.

The quality control plan must also include examples and a detailed description of all quality control samples and their corresponding inspection reports or logs the contractor will keep to document the quality control inspections performed on each run. Furthermore, the plan must include the names of all quality assurance officials and describe their duties in relationship to the quality control plan.

The quality control plan must account for the number of pieces mailed daily, cover the security over the postage meters, and the security of the controls for the setting of the meters.

**Quality Control Sample Plan** – The plan must provide a description of how the contractor will create quality control samples for periodic samplings to be taken during the production run, provide for backup and re-running in the event of an unsatisfactory sample, and contain control systems that will detect defective, missing, or mutilated pieces.

The plan should include the sampling interval (minimum pull- first from each file and then one every 4,000 notices) the contractor intends to utilize. The contractor will perform programming to create two (2) duplicate notices (QC Documents) at set intervals throughout production and diverted samples at the insertion stage and complete the following:

- One (1) sample will be inspected and tested by both the press crew and an independent Quality Assurance Technician who will evaluate compliance of diverted product to contract specifications for the duration of the job.
- One (1) sample will be drawn for the Social Security Administration and will be packed with associated pieces from each print order and shipped weekly, within three (3) workdays of completion of each print order, to the SSA (address to be supplied at the postaward conference).

The plan shall detail the actions to be taken by the contractor when defects, missing, or mutilated items are discovered. These actions must be consistent with the requirements found in GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 6-01)).

The plan shall monitor all aspects of the job, including material handling and mail flow, to assure that the production and delivery of these notices meet specifications and Government requirements.

This includes maintaining 100% accountability in the accuracy of imaging and mailing of all pieces throughout each run. The contractor must ensure that there are no missing or duplicate pieces.

The contractor must maintain quality control samples, inspection reports, and records for a period of no less than 180 calendar days subsequent to the date of the check tendered for final payment by the Government Publishing Office. The Government will periodically verify that the contractor is complying with the approved quality control plan through on-site examinations and/or requesting copies of the contractor’s quality assurance records and quality assurance random copies.

**Computer System Plan** – This plan must include a detailed listing of the contractor’s operating software platform and file transfer system necessary to interface with SSA’s National File Transfer Management System (FTMS) for electronic transmission of files from SSA. The plan must also include the media type on which files from SSA will be received to the extent that operator intervention (e.g., a tape mount) is not required at SSA or the contractor’s production facility.

The system plan shall demonstrate the contractor’s ability to provide complete hardware and software compatibility with SSA’s existing network (see “Transmission Test” for additional information). The contractor must complete a System Plan (see Exhibit H).

Included with the Computer System Plan shall be a resume for each employee responsible for the monitoring and the programming of the contractor’s computer system and file transmissions. If the contractor(s) plans to use a consultant for either task, a resume must still be included. This plan must show that the programmer(s) is skilled in the handling and programming of Record Specification and/or Advanced Function Presentation (AFP; Fully Composed or Mixed Mode) resources and files.

**Mail Plan** – This plan should include sufficient detail as to how the contractor will comply with all applicable U.S. Postal Service (USPS) mailing requirements as listed in the USPS Domestic and International Mail Manuals in effect at the time of the mailing and other USPS instructional material such as the Postal Bulletin. The contractor must also disclose how they will achieve multi-level USPS automated presort postal discounts as outlined in the contract.

**Material Handling and Inventory Control** – This plan should explain in detail how the following materials will be handled: incoming raw materials; work-in-progress materials; quality control inspection materials; USPS inspection materials; and all outgoing materials cleared for USPS pickup/delivery.

**Personnel Plan** – This plan should include a listing of all personnel who will be involved with this contract. For any new employees, the plan should include the source of these employees, and a description of the training programs the employees will be given to familiarize them with the requirements of this program.

**Production Plan** – The contractor is to provide a detailed plan of the following:

- (a) list of all production equipment and equipment capacities to be utilized on this contract;
- (b) the production capacity currently being utilized on this equipment;
- (c) capacity that is available for these workloads; and,
- (d) if new equipment is to be utilized, documentation of the purchase order, source, delivery schedule, and installation dates are required.

The contractor must disclose in their production plan their intentions for the use of any subcontractors. If a subcontractor will be handling SSA notices, the plan must include the same information required from the contractor for all items contained under the “SECURITY REQUIREMENTS and “PREAWARD SURVEY.” If a subcontractor for any operation is added at any time after award, the contractor must submit the subcontractor’s proposed plans which are subject to review and approval by the Government.

NOTE: The subcontractor must be approved by the Government prior to production starting in that facility. If the subcontractor is not approved by the Government, then the contractor has 30 calendar days prior to production to submit to the Government the new subcontractor’s information.

**Security Control Plan** – The contractor shall maintain in operation, an effective security system where items by these specifications are manufactured and/or stored (awaiting distribution or disposal) to assure against theft and/or the product ordered falling into unauthorized hands.

Contractor is cautioned that no Government provided information shall be used for non-government business. Specifically, no Government information shall be used for the benefit of a third party.

The Government retains the right to conduct on-site security reviews at any time during the term of the contract.

The plan shall contain at a minimum:

- (a) How Government files (data) will be secured to prevent disclosure to a third party.
- (b) How the disposal of waste materials will be handled.
- (c) How all applicable Government-mandated security/privacy/rules and regulations as cited in this contract shall be adhered to by the contractor and/or subcontractor(s).
- (d) How contractors classified as Cloud Service Providers (CSP) will adhere to additional FedRAMP security control requirements. CSPs must have a security control assessment performed by a Third Party Assessment Organization (3PAO) (see Exhibit M), additional information is also available at: <http://www.gsa.gov/portal/category/102371>.
- (e) The contractor shall submit a System Security Plan which documents how the solution implements security controls in accordance with the designated FIPS 199 security categorization and the Minimum Security Requirements for Federal Information and Information Systems which requires the use of NIST SP 800-53 or the contractor shall provide a Security Assessment Package (SAP) completed by either an independent assessor or another Federal agency (see Exhibit L.)

**Materials:** List how all accountable materials will be handled throughout all phases of production.

**Production Area Plan** – The contractor must provide a secure area(s) dedicated to the processing and storage of data for notices, either a separate facility dedicated to this product, or a walled-in limited access area within the contractor's existing facility. Access to the area(s) shall be limited to security-trained employees involved in the production of notices.

Part of the Production Area Plan shall include a floor plan detailing the area(s) to be used, showing existing walls, equipment to be used, and the printing and finishing locations.

Contractor must have, in place, a building security system that is monitored 24 hours a day, seven (7) days a week, and a badging/keypunch system that limits access to Government materials (data processing center/production facility and other areas where Government materials with PII are stored or are accessible) that is only accessible by approved personnel. Contractor must present this information, in detail, in the production area plan.

**Disposal of Waste Materials** – The contractor is required to demonstrate how all waste materials used in the production of sensitive SSA records will be definitively destroyed (ex., burning, pulping, shredding, macerating, or other suitable similar means). Electronic Records must be definitively destroyed in a manner that prevents reconstruction. *Definitively* destroying the records means the material cannot be reassembled and used in an inappropriate manner in violation of law and regulations. *Sensitive* records are records that are national security classified or exempted from disclosure by statute, including the Privacy Act or regulation.

The contractor, at a minimum, must crosscut shred all documents into squares not to exceed 1/4 inch. All documents to be destroyed cannot leave the security of the building and must be destroyed at contractor's printing site. The contractor must specify the method planned to dispose of the material.

**UNIQUE IDENTIFICATION NUMBER:** Unique identification numbers will be used to track each individual notice, thereby providing 100% accountability. This enables the contractor to track each notice through completion of the project. The contractor will be required to create a test sample every 4,000 notices. This sample must have a unique number and must be produced on each notice. The contractor will generate a list of the unique identifying numbers for each sample. As samples are pulled, the unique numbers will be marked off the list. This enables the contractor to track which samples have been produced and pulled and what records have been produced.

The contractor may create their own sequence number and run date to facilitate their presorting and inserting process but must maintain the original SSA identification number.

**RECOVERY SYSTEM:** A recovery system will be required to ensure that all defective, missing, or mutilated pieces detected are identified, reprinted, and replaced. The contractor's recovery system must use the unique alpha/numeric identifiers assigned to each piece (including quality control samples) to aid in the recovery and replacement of any defective, missing, or mutilated pieces, and must be capable of tracking and/or locating any individual piece of mail from the time it leaves the press, up to and including when it is off-loaded at the U.S. Postal Service (USPS) facility. An explanation of the contractor's sequential numbering system is required to understand the audit trail required for each and every piece.

**100% ACCOUNTABILITY OF PRODUCTION AND MAILING:** Contractor must have a closed loop process\* to determine that the data from the original print file is in the correct envelope with the correct number of pages and inserts. Notices requiring print regeneration must be reprinted from their original print image with the original job ID and piece ID remaining unchanged as each mail piece continues through the inserting life cycle. This process will repeat itself (since subsequent reprint runs may yield damages) until all mail pieces from the original print run have been inserted and accounted for.

**\*CLOSED LOOP PROCESSING:** A method for generating a plurality of mail pieces including error detection and reprinting capabilities. The method provides a mail handling process which tracks processing errors with the use of a first and second scan code which obtain information regarding each mail piece, diverts mail pieces in response to error detection, transmits such errors to a processor, and automatically generates a reconfigured print file to initiate reprints for the diverted mail pieces.

Contractor will be responsible for providing a unique identifying number that will be used to track each individual notice, thereby providing **100% accountability and validating the integrity of every notice produced** in all phases of printing, inserting, and mailing and to ensure all notices received from SSA were correctly entered into the United States postal system.

**NOTE:** Contractor must have all hardware, programming and finalized reports in place to meet this requirement. Any necessary equipment and programming must be in place and ready at least 90 calendar days prior to the start of live production, on or around June 1, 2018. Contractor must submit a sample of their proposed Audit and Summary reports with the required preaward production plans for approval. The Government considers grounds for the immediate default of this contract if the contractor, at any time, is unable to perform or found not complying with any part of this requirement.

Notice integrity shall be defined as follows:

- Each notice shall include all pages (and only those pages) intended for the designated recipient as contained in the print files received from SSA.
- The contractor's printing process must have automated systems which can detect all sync errors, stop printing when detected, and identify, remove, and reprint all effected notices.

Mailing integrity shall be defined as follows:

- All notices received from SSA for each file were printed, inserted, and entered correctly into the U.S. postal system.

The contractor is responsible for providing the Automated inserted notice tracking/reporting systems and processes required to validate that 100% of all notices received from SSA were printed, and that all pages for each notice with the correct inserts are accounted for, inserted, and mailed correctly.

The contractor's inserting equipment must have automated systems that include notice coding and scanning technology capable of:

- (a) Uniquely identifying each notice and corresponding notice leaves within each individual file by mailer number and file date.
- (b) Unique identifier to be scanned during insertion to ensure all notices and corresponding notice leaves are present and accounted for.
- (c) Entrance Scanning: A camera system must electronically track and scan all leaves of each mail piece as the inserting equipment pulls them into the machine to ensure each mail piece was produced and inserted. If there is any variance on a mail piece or if a mail piece is not verified that all leaves are present, that piece and the piece prior to and immediately following must be diverted and sent back for reprint. All instances of variance must be logged.
- (d) Touch and Toss: All spoilage, diverted, mutilated, or mail piece that is acted upon directly by a human hand prior to sealing must be immediately recorded, discarded, properly destroyed, and automatically regenerated in a new print file for reprint.
- (e) Exit Scanning: A camera system must be mounted just aft of the inserting equipment. This camera system must read a unique code through the window of each mail piece and be capable of identifying and reporting all missing notices that were lost or spoiled during production for each individual file by mailer number and file date. This system ensures that no missing mail pieces have been inadvertently inserted into another mail piece. The equipment must check the mail pieces, after insertion and verification that all leaves are accounted for, and divert any suspect product. During exit scanning, if a sequence number is missing the notice prior to and immediately after must be diverted. The equipment must divert all products that are missing or out of order sequence numbers and any other processing errors. All diverted pieces are to be automatically recorded and regenerated in a new print file for reprint.
- (f) Reconciliation: All notices and the amount of correct finished product must be electronically accounted for after insertion through the use of the audit system that is independent of the inserting equipment as well as independent of the operator. The sequence numbers, for each file, must be reconciled, taking into account any spoilage, duplicate, and/or diverted product. If the reconciliation yields divergent results, corrective action must be taken to locate the mail pieces that are causing any difference between the input and outputs of the inserting process. Therefore, all finished mail for that sequence run must be held in an accessible area until this reconciliation is complete.
- (g) Generate a new production file for all missing, diverted, or mutilated notices (reprint file).
- (h) Contractor must generate an automated audit report from the information gathered from scanning for each mailer number, file date, and each notice (manual inputs are not allowed). This audit report will contain detailed information for each notice as outlined above for each individual file by mailer number and file date. Contractor must maintain this information for a 6-month period after mailing.

- (i) Audit report must contain the following information:
1. Job name
  2. Mail date(s)
  3. Machine ID
  4. Date of production with start and end time for each phase of the run (i.e., machine ID).
  5. Start and end sequence numbers in each run
  6. Status of all sequence numbers in a run
  7. Total volume in run
  8. Status report for all incidents for each sequence number and cause (i.e., inserted, diverted, and reason for divert such as missing sequence number, missing leave, mutilated, duplicate, pulled for inspection, etc.).
  9. Bottom of audit report must contain total number of records for that run, quantity sent to reprint, number of duplicates, duplicates verified and pulled, and total completed.
  10. Audit report must contain the same information for all the reprints married with this report as listed above showing that all pieces for each mailer number and file date are accounted for.
- (j) Contractor must generate a **final automated 100% accountability summary report** for each individual file by mailer number and file date. This information must be generated directly from the audit report. (Manual inputs are not allowed.) The summary report must contain the following:
1. Job information: Job name, mail date, piece quantity, sequence start and end number, if multiple batches for a single file, include number of batches and batch number (i.e., 1 of 4), due date, etc.
  2. Volume of sequence numbers associated with an individual file by mailer number and file date that were inserted and date completed.
  3. Volume of reprints that were inserted for each job and when completed.
  4. Total volume inserted for each job and final date that each batch was completed.

A PDF copy of the summary report(s) and matching USPS 3607R and/or GPO 712 form(s) must be submitted to SSA, Printing Management Branch, Baltimore, MD (Exhibit K), for each file date within two (2) workdays of mailing.

NOTE: Contractor must submit a sample of their Audit and Summary Reports (see Exhibit G) with the required preaward production plans for approval.

Contractor must generate an automated audit report when necessary showing the tracking of all notices throughout all phases of production for each mail piece. This audit report will contain all information as outlined in item (i) above. Contractor is required to provide any requested Summary and/or Audit reports within an hour of a request via email in MS word, MS Excel, or PDF.

All notice tracking/reporting data must be retained in electronic form for 210 calendar days after mailing, and must be made available to SSA for auditing of contractor performance upon request.

The contractor must maintain quality control samples, inspection reports, and records for a period of no less than 180 calendar days subsequent to the date of the check tendered for final payment by the Government Publishing Office. The Government will periodically verify that the contractor is complying with the approved quality control plan through on-site examinations and/or requesting copies of the contractor's quality assurance records and quality assurance random copies.

*NOTE: The Government will not, as a routine matter, request that the contractor produce individual pieces in transit within the plant; however, the contractor must demonstrate that they will have an audit trail established that has the ability to comply with this type of request when and if the need arises.*

**REQUEST FOR NOTICE PULLS FROM PRODUCTION:** Due to the sensitivity of notices in this contract, the Government may request that the contractor remove individual notices from the production stream. When this occurs, the Government will supply the contractor with a list of notices to be pulled. The list will contain the name and address that appears in the Mail Run Data (MRD) file to identify the notices. The contractor must be able to run a sort to find and eliminate the notice from the production run. If the list is provided after the notice has been produced, the contractor must be capable of identifying the notice and pulling it from the production floor.

**ON-SITE REPRESENTATIVES:** One (1) or two (2) full-time Government representatives may be placed on the contractor's premises on a limited basis or throughout the term of the contract.

The contractor will be required to provide one private office of not less than 150 square feet, furnished with at least one desk, two swivel arm chairs, secure internet access for Government laptop computers, a work table, and two 4-drawer, letter-size file cabinets with combination padlock, and pendaflex file folders or equal.

On-site representative(s) may be stationed at the contractor's facility to: provide project coordination in receipt of transmissions; verify addresses; monitor the printing, imaging, folding, inserting, mail processing, quality control, sample selections, and inspections; and, monitor the packing and staging of the mail.

These representatives will not have contractual authority and cannot make changes in the specifications or in contract terms, but will bring any and all defects detected to the attention of the company Quality Control Officer. The representatives must have full and unrestricted access to all production areas where work on this program is being performed.

**POSTAWARD CONFERENCE:** Unless waived by the Contracting Officer, the total requirements of the job as indicated in these specifications will be reviewed by Government representatives with the contractor's representatives at the Social Security Administration, Baltimore, MD, immediately after award. At the Government's option, the postaward conference may be held via teleconference.

NOTE: Person(s) that the contractor deems necessary for the successful implementation of the contract must be in attendance.

**PREPRODUCTION MEETING:** A preproduction meeting covering the printing, imaging, folding, inserting, and mailing shall be held at the contractor's facility after award of the contract to review the contractor's production plan and to establish coordination of all operations. Attending this meeting will be representatives from the Government Publishing Office, Social Security Administration, and U.S. Postal Service. The contractor shall present and explain their final plan for the printing, imaging, folding, inserting, and mailing.

The contractor shall meet with SSA and USPS representatives to present and discuss their plan for mailing. The preproduction meeting will include a visit to the contractor's mailing facility where the contractor is to furnish specific mail flow information.

In addition, the contractor shall be prepared to present detailed production plans, including such items as quality assurance, projected commencement dates, equipment loading, pallet needs, etc. The contractor is to provide the name of the representative responsible for the mailing operation and that individual's backup.

NOTE: Person(s) that the contractor deems necessary for the successful implementation of the contract must be in attendance.

**ASSIGNMENT OF JACKETS, PURCHASE AND PRINT ORDERS:** A GPO jacket number will be assigned and a purchase order issued to the contractor to cover work performed. The purchase order will be supplemented by an individual print order for each job placed with the contractor. The print order, when issued, will indicate the quantity to be produced and any other information pertinent to the particular order.

**ORDERING:** Items to be furnished under the contract shall be ordered by the issuance of print orders by the Government. Orders may be issued under the contract from Date of Award through May 31, 2019, plus for such additional period(s) as the contract is extended. All print orders issued hereunder are subject to the terms and conditions of the contract. The contract shall control in the event of conflict with any print order. A print order shall be “issued” upon notification by the Government for purposes of the contract when it is electronically transmitted or otherwise physically furnished to the contractor in conformance with the schedule.

**REQUIREMENTS:** This is a requirements contract for the items and for the period specified herein. Shipment/delivery of items or performance of work shall be made only as authorized by orders issued in accordance with the clause entitled “ORDERING.” The quantities of items specified herein are estimates only, and are not purchased hereby. Except as may be otherwise provided in this contract, if the Government’s requirements for the items set forth herein do not result in orders in the amounts or quantities described as “estimated,” it shall not constitute the basis for an equitable price adjustment under this contract.

Except as otherwise provided in this contract, the Government shall order from the contractor all the items set forth which are required to be purchased by the Government activity identified on page 1.

The Government shall not be required to purchase from the contractor, requirements in excess of the limit on total orders under this contract, if any.

Orders issued during the effective period of this contract and not completed within that time shall be completed by the contractor within the time specified in the order, and the rights and obligations of the contractor and the Government respecting those orders shall be governed by the terms of this contract to the same extent as if completed during the effective period of this contract.

If shipment/delivery of any quantity of an item covered by the contract is required by reason of urgency prior to the earliest date that shipment/delivery may be specified under this contract, and if the contractor will not accept an order providing for the accelerated shipment/delivery, the Government may procure this requirement from another source.

The Government may issue orders which provide for shipment/delivery to or performance at multiple destinations.

Subject to any limitations elsewhere in this contract, the contractor shall furnish to the Government all items set forth herein which are called for by print orders issued in accordance with the “ORDERING” clause of this contract.

**PRIVACY ACT NOTIFICATION:** This procurement action requires the contractor to do one or more of the following: design, develop, or operate a system of records on individuals to accomplish an agency function in accordance with the Privacy Act of 1974, Public Law 93-579, December 31, 1974 (5 U.S.C. 552a) and applicable agency regulations. Violation of the Act may involve the imposition of criminal penalties as stated in 5 U.S.C. 552a (i)(1) CRIMINAL PENALTIES. It is incumbent upon the contractor to inform its officers and employees of the penalties for improper disclosure imposed by the Privacy Act of 1974, 5 U.S.C. 552a, specifically, 5 U.S.C. 552a (i)(1) CRIMINAL PENALTIES and m(1) GOVERNMENT CONTRACTORS.

### **PRIVACY ACT**

(a) The contractor agrees:

- (1) to comply with the Privacy Act of 1974 and the rules and regulations issued pursuant to the Act in the design, development, or operation of any system of records on individuals in order to accomplish an agency function when the contract specifically identifies (i) the system or systems of records and (ii) the work to be performed by the contractor in terms of any one or combination of the following: (A) design, (B) development, or (C) operation;

- (2) to include the solicitation notification contained in this contract in every solicitation and resulting subcontract and in every subcontract awarded without a solicitation when the statement of work in the proposed subcontract requires the design, development, or operation of a system of records on individuals to accomplish an agency function; and
  - (3) to include this clause, including this paragraph (3), in all subcontracts awarded pursuant to this contract which require the design, development, or operation of such a system of records.
- (b) In the event of violations of the Act, a civil action may be brought against the agency involved where the violation concerns the design, development, or operation of a system of records on individuals to accomplish an agency function, and criminal penalties may be imposed upon the officers or employees of the agency where the violation concerns the operation of a system of records on individuals to accomplish an agency function. For purposes of the Act when the contract is for the operation of a system of records on individuals to accomplish an agency function, the contractor and any employee of the contractor is considered to be an employee of the agency.
- (c) The terms used in this clause have the following meanings:
- (1) "Operation of a system of records" means performance of any of the activities associated with maintaining the system of records including the collection, use, and dissemination of records.
  - (2) "Record" means any item, collection or grouping of information about an individual that is maintained by an agency, including, but not limited to, his education, financial transactions, medical history, and criminal or employment history and that contains his name, or the identifying number, symbol, or other identifying particular assigned to the individual, such as a finger or voice print or a photograph.
  - (3) "System of records" on individuals means a group of any records under the control of any agency from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual.

**PAYMENT:** Submitting invoices for payment via the GPO fax gateway (if no samples are required) utilizing the GPO barcode coversheet program application is the fastest method of receiving payment. Instruction for using this method can be found at the following web address:

<http://winapps.access.gpo.gov/fms/vouchers/barcode/instructions.html>.

Invoices may also be mailed to: U.S. Government Publishing Office, Office of Financial Management, Attn: Comptroller, Stop: FMCE, Washington, DC 20401.

For more information about the billing process, refer to the General Information of the Office of Finance web page located at: <http://www.gpo.gov/finance/index.htm>.

NOTE: Contractor's billing invoice must be itemized in accordance with the items in the "SCHEDULE OF PRICES."

## SECTION 2. - SPECIFICATIONS

**SCOPE:** These specifications cover the production of mailers consisting of personalized English and/or personalized bilingual Spanish/English notices, reply envelopes, and mail-out envelopes requiring such operations as: receipt and processing of transmitted data; redevelopment of Advanced Function Presentation (AFP) resources or programming of record specification data; composition, laser/ion deposition or computerized printing/imaging of notices; printing of envelopes; binding; construction; packaging; packing; and, distribution.

***NOTE:** In addition to the printing of the mail-out envelope, the contractor will be responsible for the variable spraying/imaging of the correct return address extracted from the AFP MRD file consisting of over 1,300 different SSA field offices, or from a list of return addresses provided for record specification workloads that correlate to the production file, an ancillary and other markings as required.*

**TITLE:** Miscellaneous Notices.

**NUMBER OF ORDERS:** It is anticipated at this time that approximately 8 to 16 print orders will be issued per year.

**QUANTITY:** Approximately 200 to 500,000 notices per order.

An occasional order may be placed for up to approximately 1,500,000 notices. All orders must be produced in full; no shortages will be allowed.

Orders may contain both domestic/foreign and certified/registered mail, boxed notices, and multiple production files. The production and mailing for each type of mailer will follow the schedules as specified under "SCHEDULE." Print orders will be issued with estimated quantities; actual quantities will not be known until date production files are provided.

Print orders will vary and require a combination of some or all of the items listed below. Individual print orders will specify the item to be used for each order. Volumes on most orders will be anticipated; exact volumes will not be known until production files are provided to the contractor.

**NUMBER OF PAGES:** Approximately 1 to 24 pages per order.

**NOTE:** Orders may contain notices with variable page counts and/or separate English and Spanish notices.

### **TRIM SIZES:**

Notices: 8-1/2 x 11".

Business/Courtesy Reply Mail Envelope: 5-3/4 x 8-3/4", plus flap.

Mail-out Envelope: 6-1/8 x 9-1/2, plus flap.

**NOTE:** Some of the Reply Mail envelopes will have one window. Mail-out envelopes will either be a single window envelope or a dual window envelope.

**GOVERNMENT TO FURNISH:** Some items (inserts, notice copy, record specifications, etc.) will be provided, when applicable, with each print order.

Test and/or Production files.

Camera copy for the recycled paper logo.

Camera copy for the signature. (NOTE: Signature must digitize into a script font.)

Camera copy for Business/Courtesy Reply Mail envelopes.

Manuscript copy, electronically transmitted for record specification (Microsoft Word, PDF, or AFP (Fully Composed or Mixed Mode) print image files) for notices and return envelopes.

SSA will provide mail-out envelope samples with static information.

SSA will provide copy of the BRM/CRM with the print order.

Specific printing requirements (derived from these specifications) will be provided with each print order.

Test and Production files for printing will be furnished in either a record specification layout or print image. Print image files are formatted for Advanced Function Presentation (AFP) Fully Composed or Mixed Mode) printing platform.

Record Specification files (provided in an ASCII, EBCDIC, or Microsoft Excel file format).

Criteria for Data Imaging: Specific vendor record specifications will be provided with each print order as needed. (See Exhibit J for sample record specifications).

A data connection between the contractor's specified location and the nearest available SSA network interface location or SSA's National Computer Center in Baltimore, MD.

Required inserts will be furnished for insertion into the mailers. Inserts may consist of leaflets, booklets, forms, CDs, etc. (as needed). (Finished size for leaflets, booklets, and forms is up to 5-1/2 x 8-1/2", folded, bound, or packaged.)

"Postage and Fees Paid" Mailing Indicia.

PS Form 3615, Mailing Permit Application and Customer Profile.

CASS Certificate and NCOA Certificate (if available).

Government supplied meters for mailing.

Exhibit A: Form SSA-301, Contractor Personnel Security Certification.

Exhibit B: Security Requirements.

Exhibit C: Fingerprint Card.

Exhibit D: Questionnaire for Public Trust Positions (Standard Form 85P).

Exhibit E: Declaration of Federal Employment (Optional Form 306).

Exhibit F: Fair Credit Reporting Act Authorization Form.

Exhibit G: Audit and Summary Reports.

Exhibit H: System Plan.

Exhibit I: Mail Run Data (MRD) File record layout.

Exhibit J: Sample of Vendor Record Layout Specifications

Exhibit K: Key SSA and GPO Contact Information.

Exhibit L: References for External Service Providers (ESP)

Exhibit M: Third Party Assessment Organization (3PAO) Documents

Identification markings such as register marks, commercial identification marks of any kind, etc., except GPO imprint, form number, and revision date, carried in the furnished copy or electronic files, must not print on finished product.

**CONTRACTOR TO FURNISH:** All materials and operations, other than those listed under “GOVERNMENT TO FURNISH,” necessary to produce the product(s) in accordance with these specifications.

CASS and/or NCOA Certificates when required.

**SECURE FILE TRANSFER PROTOCOLS (SFTP) SITE:** The contractor is required to set up, establish, and maintain an SFTP site that multiple users at SSA can access for the passing of test and production files for all record specification workloads, for PDF notice validation samples containing PII to SSA and back, and any other information necessary for the completion of the job. The contractor must never send anything containing PII information (i.e., PDF notice validation samples or files via email).

**TRANSMISSIONS:** If an adequate data connection does not already exist, upon award of this contract, the Government will establish an Internet Protocol (IP) connection protocol for the transmission of AFP workloads. The connectivity method will be through the Internet using an encrypted VPN tunnel. The connectivity method will be encrypted with the AES256 encryption algorithm. The contractor must have an Internet ready VPN IPSec capable hardware device. The Government will not be responsible for any cost associated with the VPN Internet connection that the contractor may incur. The Government shall not be responsible for installation delays of data connections due to any external influences such as employee strikes, weather, supplies, etc., which conditions are beyond the control of the Government.

**FILE TRANSFER MANAGEMENT SYSTEM (FTMS) REQUIREMENTS:** The contractor shall provide the capability to interface with SSA’s National File Transfer Management System for electronic transmission of notice files from SSA to the production facility. SSA will provide the necessary data connection into the contractor’s location. At the discretion of SSA, the line speed may be either increased or decreased depending on utilization. The contractor must provide, at their expense, the equipment and operating software platform and the file transfer software required at their location. The contractor assumes all responsibility for configuration, maintenance, and troubleshooting of their equipment and software.

SSA utilizes, and the contractor must provide compatibility with, Managed File Transfer software from TIBCO. The contractor may implement the Managed File Transfer Platform Server that has embedded software encryption capable of being enabled. The personal computers/servers must have the capability to run Managed File Transfer software with encryption enabled using IP protocols on Windows, UNIX (i.e., IBM’s AIX, SUN, or HP), or z/OS platforms.

SSA will not permit any private class A, B, or C IP addresses (i.e., 10.xxx.xxx.xxx type IP addresses) from external users on its network. At connection time to SSA, the contractor will be provided a suitable IP address for access to SSA’s network via a firewall SSA will provide the necessary subnet(s) for connection at the remote site. The contractor will be responsible for their own name/address translation to fulfill the intended purpose of data transfers. SSA will provide Managed File Transfer node information to the contractor as required to accomplish file transfers.

The contractor may determine the media type on which files from SSA will be received, to the extent that operator intervention (e.g., a tape mount) is not required at SSA or the contractor’s production facility. Simultaneous multiple transmission sessions must be possible on the contractor’s equipment. All files transmitted by the SSA will be written as Physical Sequential or “flat” files at the contractor’s location and will be distinguished with a “run date” in the contractor’s file name. Virtual Storage Access Method files and Generation Data Groups, supported by IBM/MVS or IBM z/OS operating systems, are not permitted under this contract. The contractor’s storage format must not preclude the availability of the Managed File Transfer software Checkpoint/Restart feature.

*NOTE: The contractor may not use VM/VSE/ESA on a mainframe system as this hampers automated file transmission.*

The contractor's FTMS software shall be operational for the receipt of data files 24 hours per day, 7 days per week, unless otherwise specified by the Government. The communications protocol between SSA and the contractor shall be the Internet Protocol. The contractor must specify the type of Local Area Network (LAN) connection that will be used at the location where the SSA connection is to be installed. The contractor is responsible for providing complete hardware and software compatibility with SSA's existing network. Production file transfers will be established according to SSA's standard procedures for transmission control, dataset naming, and resource security.

Transmission of production files shall be the standard, automated technique. In the event that the transmission network is unavailable for a time period deemed critical by the Government, the files may, at the Government's option, be processed at the SSA print/mail facility.

NOTE: It is the contractor's responsibility to notify SSA when systems or connection problems arise and transmission cannot take place. SSA's first point of contact for systems or connectivity problems shall be the HELP DESK at (877) 697-4978.

All data provided by the Government or duplicates made by the contractor or his representatives and any resultant printouts must be accounted for and kept under strict security to prevent their release to any unauthorized persons. Data may not be duplicated in whole or in part for any other purpose than to create material to be used in the performance of this contract.

Any duplicate data and any resultant printouts must be destroyed by the contractor. Data provided to the contractor must be retained for 21 workdays after mailing.

#### **AFP FORMATTED NOTICES:**

For print orders for AFP notices, the contractor will receive three (3) files for each print file: the AFP file, the Mail Run Data (MRD) file and the Banner (BNR) file. Similar to the following:

AFP file = vendor\*\*\*.SSIAFP.M01xaaaaa.Ryymmdd  
MRD file = vendor\*\*\*.SSIMRD.M01xaaaaa.Ryymmdd  
BNR file = vendor\*\*\*.SSIBNR.M01xaaaaa.Ryymmdd

Data set names, when required, will be provided with each print order:

NOTE: For notices sent as Advanced Function Presentation printing platform, all notices are formatted as duplex printing (face and back). For proper processing of AFP resources supplied to the contractor by SSA used for printing notices in AFP format, the contractor must have software or an operating system which is 100% compliant with the most recent release of the IBM MVS/OS390 operating system accompanied by the most recent release of IBM Print Services Facility (PSF). These compliances relate solely to interpreting and printing files to be provided to the contractor by SSA, to ensure that the contractor is able to print the files as provided without alteration of any kind on the part of SSA.

All files will be electronically transmitted to the contractor via VPN. Any programming or other format changes necessitated due to the contractor's method of production will be the full responsibility of the contractor and must be completed prior to SSA's validation. Any alteration of data contained in the file is not permitted.

**It is solely the contractor's responsibility to redevelop/reprogram the AFP resources and MRD File to ensure proper printing and inserting in their environment.** (NOTE: SSA prints 2UP DUPLEX ROLL INTO ROLL OUT with the file order reversed for insertion. The predominant data file format is AFP Mixed Mode; however, any valid AFP format, such as fully composed AFP, is possible and must be printable at the contractor's location. Each piece of mail will be assigned a unique alpha/numeric identifier for tracking, insertion, location, and recovery processes.)

The MRD File will contain all information relevant to each mail piece. This would include, for each mail piece, the unique alpha/numeric identifier (the sequential number of the document), the number of sheets of paper, required inserts and insertion bin selection, recipient's address, USPS IMb, the appropriate signature, and any required inserts. (NOTE: Notices contain either the Commissioner of Social Security signature or a fixed "Social Security Administrations" in lieu of a signature.) (See Exhibit I for MRD File record layout.)

NOTE: The MRD file may contain the return address required for the spraying of the envelope, or the Government may provide the return address to be used for that print order which may require different return addresses if multiple files are provided.

The BNR file contains information for setting up the intelligent inserters such as file totals, number of mail packets, and bin set up for those items being included in the mail packets and the total required in each bin.

Contractor must have programmer(s) capable of handling AFP resources.

**PRINTER RESOURCES (AFP):** For print image AFP files, SSA will provide the Print Resource Library (AFP) via email; AFP resources, including Page and Form definitions, fonts, page segments, and overlays (if applicable) for page formatting shortly after the postaward conference. SSA will also provide test files with samples of the notice workload to enable the start of the validation process. (The test files are to be used in the Preproduction Validation Test and Preproduction Press and Mail Run Test. See "PRIOR TO PRODUCTION TESTS - *Preproduction Validation Test*" and "*Preproduction Press and Mail Run Test*" specified herein.)

SSA will provide Revised Resource Library (AFP) via email (when applicable): The contractor is cautioned that AFP print resources, overlays, page segments, and non-standard fonts may change during the term of the contract; therefore, the contractor must monitor each print job to ensure that the changes have been made and provide SSA with sample documents to ensure that the changes were made.

For proper processing of AFP resources supplied to the contractor by SSA, used for printing notices in AFP format, the contractor must have software or an operating system which is 100% compliant with the most recent release of the IBM MVS z/OS operating system accompanied by the most recent release of IBM Print Services Facility (PSF). These compliances relate solely to interpreting and printing files to be provided to the contractor by SSA, to ensure that the contractor is able to print the files as provided without alteration of any kind on the part of SSA.

NOTE: The contractor must not compress files in processing data for this contract.

**RECORD SPECIFICATION NOTICES:** For print orders for record specification notices, the contractor will receive a copy of the notice document either in an MS Word or PDF file. Files containing the variable information for the notice and return address(s) for the mailing envelope will be provided in MS Excel, MS Access, ASCII, or EBCDIC format with instructions for placement of variable information in the notice, return address selection, and/or for the build and placement of any required barcodes (i.e., 3 of 9, Matrix, PDF417, etc.).

Production and test files for this type of notice must be sent via the SFTP site. A copy of record specification instructions, static notice, return address(s), and other non-PII related documents will be provided via email and/or SFTP.

**COMPOSITION:** When manuscript copy is furnished, the contractor will be required to set type (in both English and Spanish) for notices and envelopes (return address, indicia, delivery address, and additional printing on face and back may be required on some orders).

Typestyles and sizes will be indicated on the manuscript copy or on the print order.

Contractor will be required to convert furnished data from electronic transmission for either laser or ion deposition printing. All printing/imaging shall have a minimum resolution of 600 x 600 dpi.

*Print Orders for AFP Notices:*

Century Schoolbook, Sonoran Serif, or equivalent fonts are to be used for producing the notices. SSA will provide the required font numbers. The contractor will be required to validate that they have the proper licenses for each. SSA cannot provide licensed fonts. Obtaining licensed fonts will be the responsibility of the contractor.

No alternate typefaces will be allowed; however, manufacturers' generic equivalents may be accepted (upon Government approval) for the above typefaces. Contractor to supply the font for Intelligent Mail Barcode (IMB).

*Print Orders for Record Specification Notices and Envelopes:*

The contractor is required to support and/or furnish the following typefaces which will be used for notices on this contract:

- Font for producing USPS IMB barcode
- Century Schoolbook and Times New Roman for notices
- Helvetica for envelopes, in various sizes and styles, as ordered

Laser imaging must not be conspicuously different in quality from images produced by photocomposition.

NOTE: The contractor cannot preprint the static portion of the notice and then print the variable information later due to print float. Contractor must print all static and variable information in one press pass.

**PROOFS (Envelopes Only):** Contractor to submit one "Press Quality" PDF soft proof (for content only) using the same Raster Image Processor (RIP) that will be used to produce the final printed product. PDF proof will be evaluated for text flow, image position, and color breaks. Proof will not be used for color match.

Proofs must show flap and window(s), if applicable.

If spraying of a return address, ancillary, additional marking, etc., on the mailing envelope is necessary, the contractor must spray the address and send the PDF proof for approval.

The contractor will be responsible for performing all necessary proofreading to ensure that the proofs are in conformity with the copy submitted.

If any contractor's errors are serious enough in the opinion of the GPO to require revised proofs, the revised proofs are to be provided at no expense to the Government. No extra time can be allowed for this reproofing; such operations must be accomplished within the original production schedule allotted in the specifications.

The Government may require one set of revised proofs before rendering an "O.K. to print."

The contractor must not print prior to receipt of an "O.K. to print."

**PRIOR TO PRODUCTION TESTS:** After award of the contract, all security clearances are met and approved by SSA, and prior to commencement of production of print orders placed under this contract, the contractor shall be required to perform the tests specified below.

The Government reserves the right to waive the requirements of any of these three tests. The contractor will be notified at the postaward conference if any test(s) are to be waived.

Failure of the contractor to perform and pass all requirements of the three tests (i.e., Transmission Test, Preproduction Validation Test, or Preproduction Press and Mail Run Test) at either the contractor's main facility or backup facility may be cause for immediate default.

**Transmission Test:** Within five (5) workdays of the VPN (or dedicated circuit) and SFTP connections being ready, security clearances being approved, and prior to receiving transmission of live production data files, the contractor shall be required to receive multiple files within one (1) workday for up to 1,500,000 AFP and/or Record Specification notices.

The contractor will be required to perform a record count verification broken down by data set names (if applicable) within one (1) workday of the complete transmission of the test files. Contractor must also pass mocked up test files and PDF samples back to SSA via the SFTP within one (1) workday of receipt of test files.

**Preproduction Validation Test:** Within three (3) workdays of Government approval of any proofs required (see "PROOFS"), the contractor shall conduct a preproduction validation test and furnish up to 100 PDF validation samples of the notices from each of the test files (AFP and/or Record Specification) using the test files furnished from the transmission of AFP test files and/or the SFTP site for Record Specifications test.

Notices must be complete and include all static and variable data from Government furnished files.

NOTE: When required, contractor may have to furnish up to 100 assembled sample notice packages from each of the test files (AFP and/or Record Specification) using the test files furnished from the transmission of AFP test files and/or the SFTP site for Record Specifications test using equipment and methods of production used in producing the finished product. Paper used for samples must be of the size, kind, and quality that the contractor will furnish. Notices must be folded and inserted into mail-out envelope. (NOTE: No inserts or reply envelopes will be required.)

The contractor shall submit PDF samples via the SFTP site. If required, the contractor shall submit hard copy samples to the attention of SSA Printing Management Branch (Exhibit K).

The Government will approve, conditionally approve, or disapprove the validation samples within two (2) workdays of receipt thereof. Approval or conditional approval shall not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval shall state any further action required by the contractor. A notice of disapproval shall state the reasons thereof.

If, during the validation process, the Government disapproves the validation samples due to contractor error, the contractor must provide corrected samples the same day. The contractor must maintain the original schedule and shall not be granted any additional time to complete the order. Such additional samples shall be furnished, and necessary changes made, at no additional cost to the Government. The Government will require the time specified above to inspect and test any additional samples required.

Manufacture of the final product prior to approval of the validation samples submitted is at the contractor's risk. Samples will not be returned to the contractor.

If applicable, all samples shall be manufactured at the facilities and on the equipment that will be used for live production.

**Preproduction Press and Mail Run Test:** The Government will issue a print order to the contractor for each preproduction press and mail run test (prime facility and backup facility).

Within five (5) workdays of approval of the transmission and preproduction validation tests and contractor's receipt of necessary materials to perform the test (inserts and envelopes), the Government shall select a date and notify the contractor when they will be required to perform the 24-hour preproduction press and mail run test at the contractor's prime production facility.

***NOTE: Within five (5) workdays of successful completion of the Preproduction Press and Mail Run Test at the contractor's main facility, the contractor must also successfully complete this test at their backup facility.***

The contractor is to utilize the transmitted test files.

The test shall occur during the week, Monday through Friday (excluding Federal holidays).

The contractor must produce 120,000 domestic/foreign mail pieces, 667 certified/registered mail pieces, and 46,667 boxed notices (consisting of AFP and/or Record Specification notices) in a continuous 24-hour period that will prove to the Government representatives that the contractor can satisfactorily complete the requirements of this contract during live production.

Upon successful completion of all test requirements, the contractor will be reimbursed for all applicable costs for a production run, in accordance with "SECTION 4. - SCHEDULE OF PRICES." If the contractor fails to meet all test requirements, they ***will not*** be reimbursed for any associated costs.

Contractor must perform each of the preproduction press and mail run tests in a continuous 24-hour period as required to prove to the Government representatives that the contractor can satisfactorily complete the requirements of this contract during live production.

The contractor will be required to have all composition, proofing, envelopes, pamphlets, scanning equipment, and reports for 100% accountability of production and mailing, completed, available, and ready for production prior to beginning the test.

For each test run, the contractor is to produce all notices in accordance with contract requirements consisting of the processing of the electronically transmitted test files; the duplex printing and imaging of notices; gathering; folding; inserting of notices and any required inserts; printing and inserting any necessary reprints; manifesting; presorting; and, preparing finished notices for delivery to the USPS. To simulate actual production conditions, the notices must be produced in accordance with all contract specifications and all USPS regulations.

NOTE: If a subcontractor is utilized for the presorting and/or mailing of the notices of this contract, the 24-hour test must include the use of the subcontractor's facility. No additional time will be allowed for the transportation and handling of the notices to and from this facility. Contractor will be required to provide the necessary audit and summary reports for 100% accountability of production and mailing within one (1) hour of completion of the run.

Contractor is required to provide the necessary audit and summary reports for 100% accountability of production and mailing within one (1) hour of completion of each test.

The 24-hour period for the printing process will begin when an "O.K. to Print" is given by the Government representative on site. The 24-hour period for the inserting and mailing process will begin within two (2) hours of the start of the printing to allow the contractor to print sufficient materials to begin the inserting process. See "SCHEDULE" for the Preproduction Press and Mail Run Test.

Samples of each preproduction press and mail run test will be brought back to SSA for validation.

The Government will approve, conditionally approve, or disapprove the validation output within seven (7) workdays of receipt thereof.

Approval or conditional approval shall not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval shall state any further action required by the contractor. A notice of disapproval shall state the reasons thereof.

The contractor must perform the preproduction press and mail run tests on their equipment and using their personnel. The tests must be performed on the printing equipment and inserting machines with required scanning equipment that will be used in live production. All samples shall be manufactured at the facilities in which the contract production quantities are to be manufactured.

**VALIDATION SAMPLES:**

NOTE: The Validation Samples may contain test and/or live variable data.

*Record Specification Orders:* The Government will provide test or live production files containing variable data. The contractor is required to provide up to 100 PDF samples (as specified) (variable data imaged into the contractor-composed notice) from each of the files provided.

*AFP Notice Orders:* The contractor will be furnished with AFP files and required to provide up to 100 PDF samples (as specified) from each of the files provided.

*All Orders:* Samples must show the computerized imaging that will be used for production. Each sample shall be imaged as specified and include the correct return address(s) used. When requested, the contractor shall provide printed samples (up to 100 samples, as specified) using equipment and methods of production used in producing the finished product. Paper used for samples must be of the size, kind, and quality that the contractor will furnish.

When required, in addition to producing the validation samples, the contractor must also run each test file through their Coding Accuracy Support System (CASS) software to ensure that there are no problems with the reading of the address data and building of the USPS IMB (if required). At the time the samples are submitted, the contractor must also submit a letter stating that their CASS system worked with the test/live production files furnished.

Contractor must submit validation samples within three (3) workdays of receipt of test/production files and within one (1) workday of receipt of live production files if test files were presented first.

The contractor shall submit PDF samples via the SFTP site. The contractor shall submit hard copy samples to the attention of SSA Printing Management Branch (Exhibit K).

The Government will approve, conditionally approve, or disapprove the samples within two (2) workdays of the receipt thereof. Approval or conditional approval shall not relieve the contractor from complying with the specifications and all other terms and conditions of the contract. A conditional approval shall state any further action required by the contractor. A notice of disapproval shall state the reasons thereof.

If the samples are disapproved by the Government, the Government at its option may require the contractor to submit additional samples for inspection and test, in the time and under the terms and conditions specified in the notice of rejection. Such additional samples shall be furnished, and necessary changes made, at no additional cost to the Government and with no extension in the shipping schedule. The Government will require the time specified above to inspect and test any additional samples required.

Manufacture of the final product prior to approval of the validation samples submitted is at the contractor's risk. Samples will not be returned to the contractor. All costs, including the costs of all samples, shall be included in the contract price for the production quantity.

If applicable, all samples shall be manufactured at the facilities and on the equipment that will be used for live production.

*If the Government provides AFP files, SSA may waive the test but must review PDF samples of the live production (see "SCHEDULE" for details).*

**STOCK/PAPER:** The specifications of all paper furnished must be in accordance with those listed herein or listed for the corresponding JCP Code numbers in the “Government Paper Specification Standards No. 12” dated March 2011.

Government Paper Specification Standards No. 12 – [http://www.gpo.gov/pdfs/customers/sfas/vol12/vol\\_12.pdf](http://www.gpo.gov/pdfs/customers/sfas/vol12/vol_12.pdf).

All stock used in each copy must be of a uniform shade.

*Notices:* White Offset Book, basis weight: 50 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A63; or, at contractor’s option, White Writing, basis weight: 20 lbs. per 500 sheet, 17 x 22”, equal to JCP Code D10.

*Business/Courtesy Reply Envelopes:* White Writing, basis weight: 20 lbs. per 500 sheets, 17 x 22”, equal to JCP Code V20; or, at contractor’s option, White Offset Book, basis weight: 50 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A60.

*Mail-out Envelopes:* White Writing (or Wove) Envelope, basis weight: 24 lbs. per 500 sheets, 17 x 22”, equal to JCP Code V20; or, at contractor’s option, White Offset Book, basis weight: 60 lbs. per 500 sheets, 25 x 38”, equal to JCP Code A60.

**PRINTING AND VARIABLE IMAGING:** Contractor will be required to convert furnished data from electronic transmission for either laser or ion deposition printing. All printing/imaging shall have a minimum resolution of 600 x 600 dpi.

*Notices:* Print and image simplex (face only) or duplex (face and back) in black only or black and one Pantone color. Contractor to match Pantone color as indicated on the print order.

*Address Keyline:* Contractor is to produce a keyline that appears above the mailing address and shows through the mail-out envelope window. The keyline must contain the following information: Print order name and number, file date, and 3-digit office code (if applicable) (e.g., Child, PO12345 03/26 A26).

*BRM Reply Envelope:* Print face only (after manufacturing) in BUSINESS REPLY FORMAT in black ink. Print FIMs and barcodes using the furnished camera copy. The FIMs and barcodes should be placed on the mailing piece according to the current U.S. Postal Service’s Domestic and International Mail Manuals, “Barcoded Mail piece.”

Inside of BRM envelope must contain a clear area (no security tint), approximately 3-1/2 x 5/8” in size, behind the barcode to ensure the readability of barcode by the USPS equipment.

*CRM Reply Envelope:* Print face only (after manufacturing) in COURTESY REPLY FORMAT in black ink. Print FIMs and barcodes using the furnished camera copy. The FIMs and barcodes should be placed on the mailing piece according to the current U.S. Postal Service’s Domestic and International Mail Manuals, “Barcoded Mail piece.”

Inside of CRM envelope must contain a clear area (no security tint), approximately 3-1/2 x 5/8” in size, behind the barcode to ensure the readability of barcode by the USPS equipment.

NOTE: For Certified/Registered Mail, the contractor may add printing to the envelope, with Government approval, to meet USPS and production requirements but must not remove/change the Government printing required.

*Mail-out Envelopes:* Print face, back, and inside of the envelope (after manufacturing) in black ink. Printing will consist of return address, mailing indicia, and any other pertinent text. Return address will change with each order and may require multiple return addresses within one order. Due to this requirement, the contractor must have the ability to spray return addresses, ancillary, and/or other markings, when required, on the stocking envelope. Additional printing on face and back may be required on some orders.

*All Envelopes:* Print or tint a security tint on the inside (back - before manufacture) in black ink. Contractor may use his own design, with Government approval, and must guarantee that the product will ensure complete opacity and prevent show through of any material contained therein.

The Government reserves the right to make changes to the envelopes at any time during the term of the contract. Notification of a proposed change will be given with sufficient time for the contractor to allow for the change, and submit proofs to the Government.

**RECYCLED PAPER LOGO:** If recycled paper is used for the envelopes, the recycled paper logo/legend must be printed in black ink on the back of all envelopes in the bottom left hand corner.

**PRESS SHEET INSPECTION:** Final make-ready press sheets *may* be inspected and approved at the contractor's plant for the purpose of establishing specified standards for use during the actual press run. Upon approval of the sheets, contractor is charged with maintaining those standards throughout the press run (within QATAP tolerances when applicable) and with discarding all make-ready sheets that preceded approval. When a press sheet inspection is required, it will be specified on the individual print order. See GPO Publication 315.3 (Guidelines for Contractors Holding Press Sheet Inspections) issued January 2015. NOTE: A press sheet inspection is for the purpose of setting specific standards that are to be maintained throughout the entire run. It does not constitute a prior approval of the entire run.

Press sheets must contain control bars for each color of ink on the sheet. Control bars must be placed parallel to the press's ink rollers. The control bars (such as BRUNNER, GATF, GRETAG, or RIT) must show areas consisting of 1/8 x 1/8" minimum solid color patches; tint patches of 25, 50, and 75%; dot gain scale; and gray balance patches for process color (if applicable). These areas must be repeated across the entire press sheet.

*Viewing Light:* Press sheets will be viewed under controlled conditions with 5000 degrees Kelvin overhead luminaries. The viewing conditions must conform to ANSI PH2.30-1989; a viewing booth under controlled conditions with 5000 degrees Kelvin overhead luminaries with neutral gray surroundings must be provided.

**MARGINS:** Margins will be indicated on print order, furnished copy, or furnished electronic file.

**BARCODES:** On some orders the contractor will be required to print a 3 of 9 barcode, 2-D PDF-417, or a Data matrix barcode, with a minimum resolution of 600 x 600 dpi.

The Government will supply the specifications and layout of the barcode and what information shall be included with the print order. The contractor will be required to pull the information from the production files to complete the barcode build as needed.

*Bar Code Height:* The height of the bar code shall be 1/2", plus or minus 1/6", regardless of code density.

*3 of 9 Barcodes:* The specified data shall be encoded as Code 39 barcodes. These barcodes shall comply with MIL-STD-1189B-1989 and any amendments thereto (unless otherwise stated), and the requirements stated below. Both contact and non-contact readers will be used by the Government for decoding. Barcoded documents may be used with document imaging systems. The data to be encoded range typically from 6 to 18 characters. Blanks (spaces) contained in the data fields shall be encoded as Code 39 blanks.

*Bar Code Density:* The preferred code density is 6.6 CPI (Font C3901J). While a slightly higher code density may be necessary in order to avoid folds, in no circumstance shall the code density exceed 7.4 characters per 7.4 CPI without the approval of the Government.

*Human Readable Interpretation:* When required, HRI shall print beneath the bar code in the font OCR-A, Size I, Range x as governed by American National Standards X3.17 and X3.17 and X3.99.

*Check Character:* A check character shall not be encoded.

*2-D Barcodes:* Final record and block lengths to be provided with the print order. The 2-D barcodes must be in accordance with the requirements of ANSI MH 10.8.3M, unless otherwise specified. All data elements contained in the barcode must begin in the specified positions. Data elements can be filled with blanks if necessary to begin the next element in the proper position.

*Placement:* Barcode placement and orientation may vary depending on form design. Barcodes (including quiet zones) must not fall on fold.

All data elements contained in the barcode must begin in the specified positions. Data elements can be filled with blanks if necessary to begin the next element in the proper position.

Contractor must verify accuracy of the barcoding. The contractor must maintain the quality and accuracy of the barcode throughout the entire run.

### **BINDING:**

*Notices:* Trim four sides.

### **CONSTRUCTION (Envelopes):**

*BRM and CRM Non-Window Envelope:* Envelopes must be open side with suitable seams and an industry standard gummed fold-over flap for sealing. Flap must be coated with suitable remoistenable glue the entire length of flap that will securely seal the return envelope for mailing. Adhesive must not adhere to the contents of the envelope.

*BRM and CRM Single Window Envelopes:* Envelopes must be open side with suitable seams, and an industry standard gummed fold-over flap for sealing. Flap must be coated with suitable remoistenable glue the entire length of flap that will securely seal the return envelope for mailing. Adhesive must not adhere to the contents of the envelope. Face of envelope to contain a single die-cut window (approximately 1-5/8" x 3-5/8" in size) with rounded corners and is to be located 3-3/4" from the left edge and 3/4" from the bottom edge of the envelope. (The long dimension of the window is to be parallel to the long dimension of the envelope.)

Window is to be covered with a suitable transparent, low-gloss, poly-type material that must be clear of smudges, lines, and distortions. Poly-type material must be securely affixed to the inside of the envelope so as not to interfere with insertion of contents. Window material must meet the current U.S. Postal Service's readability standard/requirements.

*Mail-out Single Window Envelope:* Envelope must be open side with gummed fold-over flap for sealing and high-cut side or diagonal seams, at contractor's option. Flap depth is at the contractor's option but must meet all USPS requirements and must be coated with a suitable glue that will securely seal the envelope without adhering to contents, not permit resealing of the envelope, and permit easy opening by the recipient.

Face of envelope to contain one (1) die-cut window (1-3/4 x 4-1/4" in size) with rounded corners. Die-cut window is to be located 3/4" from the left edge of the envelope and 1-3/8" from the bottom edge of the envelope. (The long dimension of the window is to be parallel to the long dimension of the envelope.) Contractor has the option to adjust the size and position of the window opening (subject to Government approval), providing the visibility of the computer-generated mailing address and IMB barcode on the form is not obscured, and other extraneous information is not visible when material is inserted into the envelope.

Window is to be covered with a suitable transparent, low-gloss, poly-type material that must be clear of smudges, lines, and distortions. Poly-type material must be securely affixed to the inside of the envelope so as not to interfere with insertion of contents. Window material must meet the current U.S. Postal Service's readability standard/requirements.

*Mail-out Dual Window Envelope:* Envelope must be open side with gummed fold-over flap for sealing and high-cut side or diagonal seams, at contractor's option. Flap depth is at the contractor's option but must meet all USPS requirements and must be coated with a suitable glue that will securely seal the envelope without adhering to contents, not permit resealing of the envelope, and permit easy opening by the recipient.

Face of envelope to contain two (2) die-cut address windows, as follows:

- Return address window: One die-cut window (1-1/4 x 3-1/4" in size) with rounded corners. Die-cut window is to be located 11/16" from the left edge of the envelope and 4-3/8" from the bottom edge of the envelope.
- Mailing address window: One-die cut window (1-3/4 x 4-1/4" in size) with rounded corners. Die-cut window is to be located 3/4" from the left edge of the envelope and 1-3/8" from the bottom edge of the envelope.

The long dimension of each window is to be parallel to the long dimension of the envelope. Contractor has the option to adjust the size and position of the return address window opening (subject to Government approval), providing the visibility of the return address on the form is not obscured, and other extraneous information is not visible when material is inserted into the envelope. Contractor has the option to adjust the size and position of the mailing address window opening (subject to Government approval), providing the visibility of the mailing address, field office code, keyline above address field, and IMB barcode on the form is not obscured, and other extraneous information is not visible when material is inserted into the envelope.

Windows are to be covered with a suitable transparent, low-gloss, poly-type material that must be clear of smudges, lines, and distortions. Poly-type material must be securely affixed to the inside of the envelope so as not to interfere with insertion of contents. Window material must meet the current U.S. Postal Service's readability standard/requirements.

NOTE: For Certified/Registered Mail, the contractor may modify the envelope(s), with Government approval, to meet USPS and production requirements but must meet Government envelope requirements as stated above.

**ASSEMBLING MAILERS:** Multiple-page notices must be gathered in the sequence as indicated on print order or furnished copy prior to folding. All notices (except for the boxed notices) fold from a flat size of 8-1/2 x 11" to 8-1/2 x 5-1/2", mailing address out.

For bilingual English/Spanish notices, collage pages and fold from a flat size of 8-1/2 x 11" to 8-1/2 x 5-1/2", Spanish side out.

Collate folded notices, furnished inserts (e.g., leaflets, booklets, etc.), BRM or CRM envelope, as required, in sequence as indicated on print order or furnished sample, fold (if applicable), and insert into the appropriate mail-out envelope.

Envelope must be securely sealed prior to mailing and must be capable of remaining sealed under normal mailing conditions.

It is the contractor's responsibility to assure that only one copy of each appropriate item required is inserted into the mail-out envelope and that only the mailing address and/or return address, as applicable, is visible through the envelope window(s).

**PACKING (Boxed Notices):** Boxed Notices do not fold down to 8-1/2 x 5-1/2". They shall be packed flat at 8-1/2 x 11".

Gather the notices for a specific order and pack in suitable shipping containers that holds 2,000 leaves in a single stack.

It is the contractor's responsibility to assure that the correct package material is inserted into each box.

If a box is not completely filled, the contractor must package with materials of sufficient strength and durability and in such a manner, which will guarantee that the product will not be damaged and the box will not open nor split during transit.

**LABELING AND MARKING (Boxed Notices):** Using the furnished distribution files, contractor is to create and affix a label to each shipping container. Label must contain the following information: Social Security Administration, address destination, name of job, program number, print order number, quantity of notices in each container, and a sequence number of container (i.e., 1 of 40, 2 of 40, etc.).

It is the contractor's responsibility to assure the correct label is affixed to each shipping container. An occasional order may require the outputting of multiple address labels to a single destination.

**PRODUCTION INSPECTION:** Production inspection(s) may be required at the contractor's/subcontractor's plant for the purpose of establishing that the receipt of transmitted files, printing of notices, imaging, spraying of return address on mail-out envelopes, dating, collating, folding, inserting, and mailing is being accomplished in accordance with contract quality attributes and requirements. A production inspection is for the purpose of setting specific standards that are to be maintained throughout the entire run. It does not constitute a prior approval of the entire run.

When a production inspection is required, the Government will notify the contractor.

**DISTRIBUTION:**

- Mail f.o.b. contractor's city each individual mail piece to both domestic and foreign addresses. Domestic mailing is nationwide, including the American Territories/Possessions. Contractor is responsible for all costs associated with transporting mail packages to the USPS.
- Ship f.o.b. contractor's city the boxed notices to approximately one address, as specified on the print order.

**Domestic First-Class, Letter-Size Mail:** The contractor is required to prepare domestic First-Class, letter-size mail and obtain the maximum postage discount allowed by USPS in accordance with appropriate USPS rules and regulations, including the USPS Domestic Mail Manual, and Postal Bulletins on Automation Compatible First Class Domestic Mail (automated and non-automated) discount structure in effect at the time of the mailing; a) Automation (5-digit); (b)Automation (3-digit); (c) Automation (AADC); (d) Automation (Mixed AADC); (e) Non-automation (Presorted); and (f) Non-automation (Single Piece).

Contractor will be required to presort all mail in this contract and achieve USPS automated postal rates. To achieve the maximum automation compatible postal discount, the contractor is required to either presort the notices prior to printing or sort the mail after the notices are inserted. The contractor may use a presort subcontractor for the mailing portion of the contract. The contractor must disclose how they will achieve maximum postage discounts as required in the contract. SSA has the right to inspect the subcontractor for the security of the mailing operation and compliance with the contract.

SSA requires the use of a permit imprint. The contractor must use SSA's "FIRST-CLASS MAIL POSTAGE AND FEES PAID" permit imprint mailing indicia printed on each mail piece. Each mail piece sent under this payment method must bear a permit imprint indicia showing that postage is paid. Permit imprint indicia may be printed directly on mail pieces. Permit imprint mailings must contain at least 200 identical pieces or 50 pounds. The contractor is cautioned to use the permit imprint only for mailing material produced under this contract.

Permit imprint may not be used if the mailing is less than 200 identical pieces or 50 pounds. Instead, the mail must be metered, and any permit imprint must be covered/concealed by a meter strip. The contractor will be reimbursed for postage by submitting a properly completed U.S. Postal Service form (or equivalent). All meter supplies will be borne by the contractor.

*NOTE:* Mail addressed to United States possessions (e.g., American Samoa, Federated States of Micronesia, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico, U.S. Virgin Islands, Wake Island, and Military Overseas Addresses (APO/FPO mail) is considered Domestic Mail, not International Mail.

The Government will furnish an Official Government Postage Meter for volumes of notices that do not meet USPS minimum requirements for permit imprint. The contractor completes postage meter replenishments, and the funds come from a Government account.

The Government, on occasion, may require the contractor to meter all the mail due to a need for a date stamp on the mail piece. The contractor will be required to cover/conceal the permit imprint with a meter strip.

***Manifest Mailing:*** The contractor is strongly encouraged to use manifest mail when postal regulations allow for this contract. The contractor must have a Manifest Mailing System (MMS) for First-Class Mail, approved by the U.S. Postal Service to document postage charges for this mailing. Requirements for MMS are contained in USPS Publication 401, Guide to the Manifest Mailing System. Each mail piece must be identified either with a unique identification number or with a keyline containing a unique identification number and rate information about the piece.

The mail pieces sent under Manifesting will have a printed "Postage and Fees Paid First-Class Mail" permit imprint mailing indicia. The contractor is cautioned to use the permit imprint only for mailing material produced under this contract. ***A copy of the USPS approval for the MMS must be presented at the postaward conference.***

Intelligent Mail barcoding (IMB), delivery address placement, and envelopes used for the mailing are among the items that must comply with USPS requirements for automation-compatible mail in effect at the time of the mailing.

For AFP notice workloads, SSA will transmit the notices with an USPS Intelligent Mail Barcode that is coded for the full service option. The contractor will be required to use the provided IMB, meet the full service option, and achieve the maximum postage discounts available with this option.

For Record specification notice workloads, the contractor will be required to produce and use a USPS IMB coded with the full service option. The contractor must comply with USPS requirements and place the IMB on all notices/mail pieces and achieve the maximum postage discounts available.

***Coding Accuracy Support System (CASS):*** When required, the contractor shall use CASS Certified ZIP+4 software licensed by the USPS to generate ZIP+4 Codes and Delivery Point Barcodes for all mail qualifying for a postage discount.

For addresses coming from SSA's Master Beneficiary Record (MBR) and Supplemental Security Record, SSA will provide certificates indicating that, within the last 180 calendar days, all addresses have been matched against USPS-Certified CASS ZIP Code software.

The contractor is required to furnish USPS with any required CASS certificates. Instructions will be provided with each print order.

**National Change of Address (NCOA):** When required, the contractor shall use a USPS-approved address update method to generate a NCOA certificate for USPS.

For addresses coming from SSA's MBR, SSA will provide a certificate indicating that SSA processed those addresses with a USPS certified NCOA service vendor within 95 calendar days of the mailing. When required, the contractor may be required to print an ancillary service endorsement on the envelope such as "Address Service Requested" in lieu of the NCOA, in one of the locations approved by USPS.

The contractor is required to furnish USPS with any required NCOA certificates. SSA will provide instructions with each print order.

NOTE: The contractor shall NOT, at any time, perform move updates or address corrections on the notice addresses supplied unless otherwise instructed by SSA.

All letters in a mailing must pass the "tap" test in order to obtain the maximum postal discounts for the agency. When performing the tap test, with the notice inserted into the mailing envelope, the address of all notices and the entire barcode must remain within the barcode clear zone. In addition, a clear space must be maintained that is at least 0.125 inch between the left and right edges of the window, and at least 0.028 inch clearance between the Intelligent Mail Barcode and the top and bottom edges of the window. The contractor will be responsible for payment of any additional postage resulting from a loss of postage discounts due to failure to pass the "tap" test because of inaccuracy or failure to conform to USPS specifications.

Contractor should be aware that USPS uses the Mail Evaluation Readability Look-up Instrument (MERLIN) to evaluate barcodes. If MERLIN is in effect in the contractor's geographic area, the contractor must ensure that all barcoded mail meets the new barcode standards. The contractor will be responsible for payment of any additional postage resulting from a loss of such discounts due to failure of the contractor-generated barcodes to pass the MERLIN test because of inaccuracy or failure to conform to USPS specifications.

**Metered Mail:** The contractor is responsible for the security of the SSA postage meters, and access is to be restricted to authorized personnel only. Contractors are to place SSA postage meters in a locked position and store in a secure server room or safe when not in use. The contractor is to advise all staff there is a penalty for the private use of official postage meters (39USC3203).

Contractors should always maintain sufficient postage on the SSA meters. The contractor should contact SSA if they are not sure of how much postage to load or frequency.

The contractor is required to submit spoiled postage/postage error envelope(s)/meter strip(s) and prepare a Postal Service Form 3533, "Application for Refund of Fees, Products and Withdraw of Customer Accounts." Forms are not obtainable from the USPS website since they contain a barcode making each form unique. Contractors must go to local Post Offices, postal retail units, or Bulk Mailing Units to obtain the hard copy version of the revised PS Form 3533. USPS will credit the postage refund to SSA through the Official Mail Accounting System (OMAS). SSA requires the contractor to submit a copy of Form 3533 along with the associated print order in which the spoilage occurred and all other postal documentation to the SSA Program Lead.

The contractor must have approval from SSA's Postage Meter Accountability Team for turn-in of SSA postage meter(s) to the meter manufacturer (e.g., excess meter, defective meter, etc.). If the contractor requires a replacement postage meter, USPS credits any remaining postage to SSA through the USPS' Official Mail Accounting System; or the meter manufacturer may transfer the remaining postage from the old meter to the new meter. The contractor should be sure to document the last meter reading (postage remaining amount) before the meter is checked out of service. The contractor may receive a PS Form 3601-C, "Postage Meter Activity Report" from the meter manufacturer. The contractor is to forward a copy of this report to SSA within three (3) workdays of the transaction.

On the first workday of each month, the contractor must load \$5.00 on all SSA postage meters (including backup postage meters). In addition to the monthly upload, the Government reserves the right to request the contractor to upload additional funds at any time. These uploads are in addition to any routine meter replenishments. As a result of the postage uploads, the contractor may receive a Postage Meter Reset Activity Report Statement from the meter manufacturer. If received, the contractor should retain this documentation for 12 months.

Do not relocate SSA postage meters to any other building. Contractors are required to contact the SSA Program Lead before any movement of an SSA postage meter.

The contractor is required to prepare all metered mail in accordance with the rules and regulations in USPS's Domestic Mail Manual and International Mail Manual.

Contractors should not receive invoicing for meter rentals. If the contractor receives an invoice, contact the SSA Program Lead immediately.

***Contractor Sites Using "Official Government" Postage Meters with Automated Reporting Capability (detailed and limited):*** Postage meters with "Detailed Account Reporting" are capable of providing trend reports, postal class reports, summary reports, chart production, accounts, sub-accounts, operator ID's, etc. These meters provide SSA with remote tracking per print program of postage used. This is SSA's preferred meter type. This meter type is ideal for use when processing multiple SSA workloads because of the account and sub-account feature. Contractors will be required to utilize the postage meter account feature for each SSA print program. Contractors may also be required to use sub-account features for each SSA program. If a contractor requires assistance with set-up and operating the "accounting" features of the postage meters, SSA will provide a contact to assist them.

Postage meters with "Limited Account Reporting" are capable of providing SSA with remote tracking of the meter date, contractor/location, meter used, start funds available, any refills/refunds, number of pieces (postage applied), total cost, end funds available, and postage used. This meter is best suited for use when processing one single SSA workload. No action is necessary on the part of the contractor since SSA will view postage meter usage remotely for the individual workload.

***Contractor Sites Using an SSA Postage Meter Activity Log (Manual Process):***

Contractors using mailing equipment that cannot support a postage meter with an internal accounting feature and/or capable of remotely providing SSA with the detailed data it requires when producing multiple workloads will receive a compatible meter but will be required to complete an SSA Postage Meter Activity Log.

The contractor will forward a completed SSA Postage Meter Activity Log to the appropriate SSA Program Lead/or backup for each print order. If the contractor is producing multiple workloads using the same postage meter, the contractor is required to send the log to each Program Lead/backup. Every field must contain an entry or an N/A if the field does not apply. SSA will return incomplete or incorrect activity logs to the contractor for correction. NOTE: If a primary meter fails and a backup meter is needed to complete the workload, the contractor will need to document the primary meter log in the note field (i.e., meter failed, out of postage, etc.) and create a new activity log (documenting the necessary fields) to use with the backup meter.

Use of the above accounting feature or manual logs does not alter the current postal process. Contractors will continue to forward all postal documentation as required in the contract requirements.

***International First Class Mail:***

All items mailed must conform to the appropriate USPS International Mail Manual (IMM), Postal Bulletins, and other USPS rules and regulations in effect at the time of mailing.

Permit imprint may be used for International Mail providing the mailing consists of at least 200 pieces. Permit imprint may not be used if the mailing is less than 200 pieces. Instead, the mail must be metered, using Government supplied meters, and any permit imprint must be covered/concealed by a meter strip.

If the mailing meets the qualifications for International Priority Airmail (IPA), it must be processed through IPA in accordance with USPS rules and regulations in effect for IPA at the time of the mailing. To maximize postage savings, the contractor shall sort to the IPA Rate Group 1 through 15 levels.

Pieces not qualifying for the IPA Rate Group Levels of discount shall be prepared at the Worldwide Non-presorted rate level, and any remaining pieces that do not meet the IPA qualifications will be sorted by individual country rules according to the USPS IMM in effect at the time of the mailing.

International Mail return address must show as the last line of the address "UNITED STATES OF AMERICA," all in capital letters. All International Mail must be endorsed "PAR AVION" or "AIR MAIL" as described in the USPS IMM. The contractor may use a rubber stamp to meet these requirements.

Printing of address, barcode, etc., make-up and processing of all mail pieces must comply with the International Mail Manual and current issues of the USPS Postal Bulletin.

The contractor is cautioned that mail addressed to United States territories and possessions (American Samoa, Federated States of Micronesia, Guam, Marshall Islands, Northern Mariana Islands, Palau, Puerto Rico, Virgin Islands, Wake Island, and Military Overseas Addresses (APO/FPO mail) is considered Domestic Mail, NOT International Mail and should be included in the discount sorting above.

***USPS Certified Mail:***

The domestic mail pieces included in these mailings may require mailing using USPS Certified Mail. The contractor will prepare these mail pieces according to USPS regulations contained in the Domestic Mail Manual under Section 503.3.0, Certified Mail.

Notices associated with the certified mail file require inserting into envelopes and processed as certified mail. The contractor must place the current Postal Service Form 3800 (20-digit certified number and barcode) on the envelope.

***USPS International Registered Mail:***

The mail pieces included in these mailings may require mailing using USPS International Registered Mail. The contractor will prepare these mail pieces according to USPS regulations contained in the International Mail Manual under Section 330, Registered Mail.

Notices associated with the registered mail file require inserting into envelopes and processed as international registered mail. The contractor must place the current Postal Service Form 3806 (Receipt for Registered Mail) and PS Label 200 (13-digit registered number and barcode) on the envelope.

***Mailing Documentation:***

The contractor shall provide SSA with complete copies of all documents used by USPS to verify and accept the mail (e.g., computer records of presort ZIP+4, barcode breakdown, press runs, etc.) including USPS 3607R and/or GPO's Form 712 (Certificate of Conformance) and/or Certificate of Bulk mailing, etc., each noted with the print order number.

Certificate of Conformance: When using Permit Imprint Mail the contractor must complete GPO Form 712 - Certificate of Conformance (Rev. 10-15), and the appropriate mailing statement or statements supplied by USPS. A fillable GPO Form 712 Certificate of Conformance can be found at <http://www.gpo.gov/vendors/sfas.htm>.

The contractor will use Federal Agency Code 276-00050 on all mailing documents.

Within 48 hours of mailing, the contractor shall provide PDF copies of all mailing documentation and matching 100% Accountability Summary reports to: SSA, Printing Management Branch, Baltimore, MD (Exhibit K). All copies must be legible and include required information so SSA and GPO can discern which print order corresponds with which documents.

***Reimbursable Freight (when required) –***

The contractor must ship cargo via secured truck with no other cargo and direct to destination as specified on the print order. The contractor is responsible for selection of carrier and shall ship by the most reasonable method to ensure prompt delivery and safe arrival at all destinations for shipments requiring Commercial Bills of Lading. After loading, the contractor must seal the truck; the seal cannot be broken until delivery at the destination provided by the Government.

Ship reimbursable. Contractor will be reimbursed for all shipping costs (actual costs) by submitting all shipping receipts with their billing invoice.

Unless otherwise indicated, truck deliveries must be made at the point of destination between the hours of 9:00 a.m. and 3:00 p.m., prevailing local time, on normal Government workdays, Monday through Friday. Shipments must be delivered as specified on the print order.

Within 10 workdays of mailing date, contractor must submit samples and one (1) copy of the billing payment voucher form 1034 for each print order showing amount of billing invoice to: SSA, Printing Management Branch (See Exhibit K). The original billing invoice will be sent to the U.S. Government Publishing Office.

All expenses incidental to picking up, returning, and/or destroying furnished materials (as applicable), submitting proofs, and furnishing sample copies must be borne by the contractor.

**SCHEDULE:** Adherence to this schedule must be maintained. Contractor must not start production of any job prior to receipt of the individual print order (GPO Form 2511).

Print order and furnished material must be picked up from and returned to the SSA Printing Management Branch (Exhibit K).

PDF soft proofs must be emailed to the address specified on the print order. Proofs must be identified with the jacket number, program number, print order number, and proof date, in the subject line in the email containing the PDF soft proofs.

Preprinted and folded Government furnished inserts (e.g., leaflets, booklets, CDs), must be picked up from: Social Security Administration, Supply Building, 6301 Security Boulevard, Baltimore, MD 21235-6301.

**PRIOR TO PRODUCTION:**

The contractor must successfully establish a VPN and SFTP site with SSA, complete the Transmission test, Pre-Production Validation Test, and Preproduction Press and Mail Run Tests before regular production of print orders placed under this contract shall begin.

**PROOF SCHEDULE:**

The following schedules begin the workday after notification of the availability of a print order and Government furnished material. The workday after notification will be the first workday of the schedule.

- Contractor to submit all required PDF soft proofs within two (2) workdays of receipt of furnished materials.
- PDF soft proofs will be withheld no more than two (2) workdays from receipt at the ordering agency until changes/corrections/approval is given via email. (NOTE: The first workday after receipt of proofs at the ordering agency is day one (1) of the hold time.)

**PRIOR TO PRODUCTION TESTS:**

The following schedules begin the workday after notification of the availability of a print order and Government furnished material. The workday after notification will be the first workday of the schedule.

***Transmission Test:***

The contractor will be required to perform this test within five (5) workdays of the VPN and SFTP connections being ready, security clearances being approved, and prior to receiving transmission of live production files.

- The contractor will be required to receive multiple files for up to approximately 1,500,000 AFP and/or Record Specification notices within one (1) workday.
- The contractor will be required to perform a Record Count Verification within one (1) workday of receipt of complete transmission of all notice test files and furnish the Government with the exact counts.
- The contractor shall also be required to pass mocked up test files and PDF samples back to SSA via the SFTP site within one (1) workday of receipt of test files.
- The Government will provide verification within one (1) workday of receipt thereof.

***Preproduction Validation Test:***

When spraying of return address, ancillary, and/or other markings is required, the contractor must provide PDF samples of the final envelope(s) for Government approval during the notice validation process.

***1. Test Files Provided:***

- If SSA provides test files, contractor shall provide up to 100 PDF validation samples of the notices with all variable information in position, within three (3) workdays of receipt of files.
- Government will approve, conditionally approve, or disapprove the validation samples within two (2) workdays of receipt thereof.
- After approval of test file samples, when live production files are provided, the contractor will then provide up to 100 PDF validation samples of the notices with all variable information in position, within one (1) workday of receipt of live production files.
- Government will approve, conditionally approve, or disapprove the validation samples within one (1) workday of receipt thereof.

**2. No Test Files Provided:**

- If SSA does not provide test files, the contractor shall provide up to 100 PDF validation samples of the notices with all variable information in position, within three (3) workdays of receipt of live production files.
- Government will approve, conditionally approve, or disapprove the validation samples within two (2) workdays of receipt thereof.

If, during the validation process, the Government disapproves the validation samples due to contractor error, the contractor must provide corrected samples the same day. The contractor must maintain the original schedule and shall not be granted any additional time to complete the order.

***NOTE: If hard copy samples are required, the above schedule will still apply.***

***Preproduction Press and Mail Run Test (24-Hour Test):***

The contractor will be required to perform the 24-Hour Preproduction Press and Mail Run Test within five (5) workdays of approval of the transmission test and preproduction validation test and contractor's receipt of necessary materials.

- The contractor must produce a minimum of 120,000 domestic/foreign mail pieces, 667 certified/registered mail pieces, and 46,667 boxed notices (consisting of AFP and/or Record Specification notices) in a continuous 24-hour period.
- The Government will approve, conditionally approve, or disapprove within seven (7) workdays of receipt thereof.

Contractor must notify the GPO of the date and time the preproduction press and mail run tests will be performed. In order for proper arrangements to be made, notification must be given at least 10 workdays prior to the tests.

***NOTE: Within five (5) workdays of successful completion of the Preproduction Press and Mail Run test at the contractor's facility, the contractor must also successfully complete this test at their backup facility.***

***Press Sheet Inspection Required:***

The Government may request a press inspection for the start of production. When this occurs the contractor must have all materials and validation samples ready for final approval. If errors are found, and were not present during the prior validation when Test Files or No Test Files Provided, as stated above, the contractor shall not be granted any additional time to complete the order.

Production cannot begin until the Government provides an "O.K. to Print."

**ENVELOPE SCHEDULE:**

***Mail-out Envelopes:***

- For volumes up to and including 100,000 notices, the contractor must maintain adequate stock of the SSA generic mailing envelopes (single and dual window) so no additional time will be allowed in the schedule for proofing and receipt of envelopes.
- For volumes over 100,000 notices, the contractor shall have envelopes delivered to their plant within 10 workdays of Government approval of proofs.

- NOTE: Some orders will require the spraying/imaging of multiple return addresses, ancillary or special markings. The contractor must have the ability to extract the return addresses from the AFP MRD file, consisting of over 1,300 different SSA field offices, or from a list of return addresses provided for record specification workloads, that correlate to the production file.

**BRM/CRM Envelopes:** The contractor shall have envelopes delivered to their plant within 10 workdays of Government approval of proofs.

***Boxes Only:***

- For volumes that require the boxing of notices totaling up to and including 1,000,000 leaves (500 boxes), the contractor must maintain adequate stock so no additional time will be allowed in the schedule for receipt of boxes.
- For volumes over 1,000,000 leaves (500 boxes), the contractor shall have boxes delivered to their plant within five (5) workdays of receipt of production files.

**PRODUCTION AND DISTRIBUTION SCHEDULE:**

The following schedules will start the day after SSA provides an “O.K. to Print.”

***Boxed Notices and Domestic/Foreign Mail:***

- For print orders up to and including 50,000 mailers, contractor must complete production and distribution within two (2) workdays of receipt of “O.K. to Print.”
- For print orders over 50,000, up to and including 500,000 mailers, contractor must complete production and distribution within four (4) workdays of receipt of “O.K. to Print.”
- For print orders for over 500,000 mailers, contractor will receive one (1) additional day for each additional 200,000 mailers, or fraction thereof, for a maximum of 1,500,000 mailers in nine (9) workdays.

***Certified/Registered Mail:***

If a print order requires Certified/Registered mail, the schedule for that portion will be as follows:

- For print orders requiring up to and including 500 certified/registered mailers, contractor must complete the mailing within two (2) workdays of receipt of “O.K. to Print.”
- For print orders requiring over 500, up to and including 1,000 certified/registered mailers, contractor must complete the mailing within four (4) workdays of receipt of “O.K. to Print.”
- For print orders requiring over 1,000, up to and including 6,000 certified/registered mailers, contractor will receive nine (9) workdays.

**NOTE: (Variance to Mailing Schedule):** On any order, at the request of the Government, the contractor maybe required to mail a specified quantity on specific days from day 4 through day 9. On occasion, a print order may require mailings to occur over multiple weeks or months, not to exceed six (6) separate mail drops over three (3) months. The Government will provide a schedule, stating mail dates and anticipated volumes for each day on orders requiring multiple mailing dates. The contractor will receive one (1) make-ready/setup charge for each mail date.

The contractor must notify the Government of the date and time the press sheet/imaging or production inspection can be performed. In order to make proper travel arrangements, notification must be given at least three (3) workdays prior to the inspection. Notify the SSA Printing Management Branch (Exhibit K) and the U.S. Government Publishing Office, Quality Control for Published Products, Washington, DC 20401, or telephone area code (202) 512-0542. Telephone calls will only be accepted between the hours of 8:00 a.m. and 2:00 p.m., Monday through Friday, prevailing Eastern Time. NOTE: See contract clauses, paragraph 14(e)(1), Inspections and Tests of GPO Contract Terms (GPO Publication 310.2, effective December 1, 1987 (Rev. 6-01)). When supplies are not ready at the time specified by the contractor for inspection, the Contracting Officer may charge to the contractor the additional cost of the inspection.

The ship/deliver date indicated on the print order is the date products ordered for mailing/shipping f.o.b. contractor's city must be delivered to the Post Office or picked up by small package carrier.

Unscheduled material such as shipping documents, receipts or instructions, delivery lists, labels, etc., will be furnished with each order or shortly thereafter. In the event such information is not received in due time, the contractor will not be relieved of any responsibility in meeting the shipping schedule because of failure to request such information.

For compliance reporting purposes, the contractor is to notify the U.S. Government Publishing Office of the date of shipment or delivery. Upon completion of each order, contractor must contact the Shared Support Services Compliance Section via email at [compliance@gpo.gov](mailto:compliance@gpo.gov); via telephone at (202) 512-0520; or via facsimile at (202) 512-1364. Personnel receiving email, call or facsimile will be unable to respond to questions of a technical nature or to transfer any inquires.

**SECTION 3. – DETERMINATION OF AWARD**

The Government will determine the lowest bid by applying the prices offered in the “SCHEDULE OF PRICES” to the following units of production which are the estimated requirements to produce the one (1) year’s production under this contract. These units do not constitute, nor are they to be construed as, a guarantee of the volume of work which may be offered for a like period of time.

The following item designations correspond to those listed in the “SCHEDULE OF PRICES.”

I. 96

II. (a) 1  
(b) 14

III. (a) 14  
(b) 16,000  
(c) 1,000  
(d) 600  
(e) 165  
(f) 800  
(g) 1,200  
(h) 800

IV. (a) 8,500  
(b) 765  
(c) 2,000

V. (a) 250  
(b) 2,000

VI. 3

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**SECTION 4. - SCHEDULE OF PRICES**

Bids offered are f.o.b. contractor's city for all mailing and shipping.

Prices must include the cost of all required materials and operations for each item listed in accordance with these specifications.

Bidder must make an entry in each of the spaces provided. Bids submitted with blank spaces, or with any obliteration, revision, or alteration of the order and manner of submitting bids, may be declared nonresponsive.

An entry of NC (No Charge) shall be entered if bidder intends to furnish individual items at no charge to the Government.

Bids submitted with NB (No Bid) or blank spaces for an item may be declared nonresponsive.

The Contracting Officer reserves the right to reject any offer that contains prices for individual items of production (whether or not such items are included in the DETERMINATION OF AWARD) that are inconsistent or unrealistic in regard to other prices in the same offer or to GPO prices for the same operation if such action would be in the best interest of the Government.

All invoices submitted to the GPO shall be based on the most economical method of production.

Fractional parts of 1,000 will be prorated at the per-1,000 rate.

**Contractor's billing invoice must be itemized in accordance with the line items in the "SCHEDULE OF PRICES."**

The cost of all required paper must be charged under Item IV. "PAPER."

**I. COMPOSITION** (English and/or Spanish): Prices offered must be all-inclusive and must include the cost of all materials and operations necessary for the composition in accordance with these specifications.

NOTE: Each side of an envelope shall be considered as one (1) page.

Per Page .....\$\_\_\_\_\_

**II. PREPRODUCTION TESTS:** Price offered must include all costs incurred in performing the Transmission Test and Preproduction Validation Test as specified in these specifications. These costs shall cover but are not limited to: machine time, personnel, all required materials, wire transmissions, films, plates, paper, printing, imaging, collating, inserting, mail preparation, and any other operations necessary to produce the required quantities of the product in the time specified and in accordance with specifications.

(a) Transmission Test..... per test.....\$\_\_\_\_\_

(b) Preproduction Validation Test..... per test.....\$\_\_\_\_\_

\_\_\_\_\_  
(Initials)

**III. PRINTING, VARIABLE IMAGING, BINDING, AND CONSTRUCTION:** Prices offered must be all inclusive and include the cost of materials (except paper) and operations necessary (including all proofs) for the printing, variable imaging, binding, and construction of the products listed in accordance with these specifications.

The price offered for makeready includes makereadies for English, Spanish, Domestic/Foreign, and Certified/Registered notices. Separate makeready charges for English, Spanish, Domestic/Foreign, and Certified/Registered notices will not be allowed.

- (a) \*Makeready/setup charge.....per order.....\$ \_\_\_\_\_  
\*Contractor will be allowed only one (1) makeready/setup charge per order.
- (b) Notices: Printing/imaging in black, including binding.....per 1,000 pages.....\$ \_\_\_\_\_
- (c) Notices: Printing in black ink and one Pantone color, and  
imaging in black, including binding ..... per 1,000 pages.....\$ \_\_\_\_\_
- (d) BRM/CRM Non-Window Reply Envelopes: Printing in black ink,  
including construction..... per 1,000 envelopes .....\$ \_\_\_\_\_
- (e) BRM/CRM Window Reply Envelopes: Printing in black ink,  
including construction..... per 1,000 envelopes .....\$ \_\_\_\_\_
- (f) Mail-out Single Window Envelopes: Printing in black ink,  
including construction..... per 1,000 envelopes .....\$ \_\_\_\_\_
- (g) Mail-out Dual Window Envelopes: Printing in black ink,  
including construction ..... per 1,000 envelopes .....\$ \_\_\_\_\_
- (h) Spraying/Imaging of return addresses, ancillary,  
or other markings on Mail-out Envelopes..... per 1,000 envelopes.....\$ \_\_\_\_\_

**IV. PAPER:** Payment for all paper supplied by the contractor under the terms of these specifications, as ordered on the individual print orders, will be based on the net number of leaves furnished for the product(s) ordered. The cost of any paper required for makeready or running spoilage must be included in the prices offered.

Computation of the net number of leaves will be based on the following:

Notices – Each trim/page-size leaf.

BRM/CRM Reply Envelopes: One page-size leaf will be allowed for each envelope.

Mail-out Envelopes: One page-size leaf will be allowed per envelope.

\_\_\_\_\_  
(Initials)

Per 1000 Leaves

- (a) Notices: White Offset Book (50-lb.);  
or, at contractor's option, White Writing (20-lb.) .....\$ \_\_\_\_\_
- (b) BRM/CRM Reply Envelopes: White Writing (20-lb.);  
or, at contractor's option, White Offset Book (50-lb.) .....\$ \_\_\_\_\_
- (c) Mail-out Envelopes: White Writing (or Wove) (24-lb.);  
or, at contractor's option, White Offset Book (60-lb.) .....\$ \_\_\_\_\_

**V. GATHERING, INSERTING, PACKING, AND DISTRIBUTION:** Prices must be all-inclusive, as applicable, and must include the cost of packing; shipping containers; all necessary wrapping and packing materials; all required materials and operations necessary for the mailing of the notices including cost of gathering notice(s) (single or multiple leaves) in proper sequence; folding and inserting notice(s) and appropriate inserts as required into mail-out envelope; labeling and marking; and, distribution, in accordance with these specifications.

- (a) Packing and sealing shipping containers ..... per shipping container .....\$ \_\_\_\_\_
- (b) Complete Mailer ..... per 1,000 mailers .....\$ \_\_\_\_\_

**VI. CERTIFIED/REGISTERED MAIL:** Prices offered must include the cost of any and all additional materials (i.e., paper, envelopes, printing, labels, etc.) and operations necessary to complete the Certified/Registered mail and provide to USPS. This price is in addition to the schedule of pricing for Items III. and V. above.

Certified/Registered mailing ..... per 1,000 mailers .....\$ \_\_\_\_\_

**LOCATION OF POST OFFICE:** All mailing will be made from the \_\_\_\_\_

Post Office located at Street Address \_\_\_\_\_,

City \_\_\_\_\_, State \_\_\_\_\_, Zip Code \_\_\_\_\_.

\_\_\_\_\_  
(Initials)

**INSTRUCTIONS FOR BID SUBMISSION:** Fill out "SECTION 4. – SCHEDULE OF PRICES," initialing or signing each page in the space(s) provided. Submit two copies (original and one exact duplicate) of the "SCHEDULE OF PRICES" with two copies of the GPO Form 910 "BID" form. Do not enter bid prices on GPO Form 910; prices entered in the "SCHEDULE OF PRICES" will prevail.

Bidder \_\_\_\_\_

\_\_\_\_\_  
(City - State)

By \_\_\_\_\_

(Signature and title of person authorized to sign this bid)

\_\_\_\_\_  
(Person to be contacted)

\_\_\_\_\_  
(Telephone Number)

**EXHIBIT A**  
**Contractor Personnel Security Certification**

----- Contractor Employee	----- Date

**EXHIBIT A**  
**Contractor Personnel Security Certification**

----- Contractor Employee	----- Date

**EXHIBIT A**  
**Contractor Personnel Security Certification**

----- Contractor Employee	----- Date

## EXHIBIT B Security Requirements

### SECURITY REQUIREMENTS

**Purpose:** To provide procedures for obtaining suitability determinations for contractor personnel who will be performing under the contract.

**Definition:** “*Performing under the contract*” is defined as either working on-site at an SSA facility (including visiting the SSA site for any reason) or having access to agency programmatic or sensitive information.

**Suitability Factors:** Suitability considerations include:

- Delinquency or misconduct in prior employment.
- Criminal, dishonest, infamous, or notoriously disgraceful conduct.
- The nature and seriousness of the conduct.
- When the conduct occurred.
- The applicant’s or employee’s age at the time of the conduct.
- The circumstances surrounding the conduct.
- Intentional false statement, deception, or fraud on application forms.
- Habitual use of intoxicating beverages to excess.
- Abuse of narcotics, drugs, or other controlled substances.
- Reasonable doubt as to the loyalty of the individual to the Government of the United States.
- The kind of position for which the person is applying or in which the person is employed.
- Contributing social and environmental conditions.
- The absence or presence of rehabilitation or efforts towards rehabilitation.

**Authorities:**

*Personnel* security requirements for programmatic and sensitive information are mandated by Executive Orders 10450 and 12968, and Title 5, Code of Federal Regulations (CFR), Parts 731, 732, and 736.

*Protective* security requirements mandated by the General Services Administration (GSA).

**EXHIBIT B**  
**Security Requirements**

**Required Forms:**

Two (2) completed forms FD-258, "Fingerprint Charts\*," (The contractor will absorb the costs for obtaining fingerprints.)

One (1) completed SF-85P, "Questionnaire for Public Trust Positions,"

One (1) completed Optional Form 306, "Declaration for Federal Employment,"

**Note: For Federal and Federal Contract Employment**

One (1) completed "Fair Credit Reporting Act (FCRA) authorization form\*\*," and

For a non-U.S. citizen, one (1) legible photocopy of the work authorization permit and Social Security card.

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\* Preprinted with MD 900310Z, SOC SEC ADMIN, PROT SEC BR, BALTIMORE, MD on the form.

\*\* The FCRA, as amended on September 30, 1997, requires that the Government notify each applicant, employee, and contractor (in a document consisting solely of the notice) that a consumer report may be used for employment purposes. The applicant, employee, or contractor must authorize this use in writing before the Government obtains the consumer report. The FCRA also requires that, before taking adverse action relative to an employment decision based on a consumer report, the agency provide the consumer with a copy of the report, and a copy of the Federal Trade Commission's Consumer Rights Notice. To comply with these requirements, SSA requires that the contractor submit each applicant's or employee's signed FCRA authorization form along with the other investigative documents.

**Obtaining Forms:** The contracting officer will include a set of the forms with the signed contract.

The contractor may contact the Social Security Administration (SSA) Personnel Security Suitability Program Officer (SPO) on (410) 965-4548 for additional forms.

**Forms Completion:** The contractor must make sure that all forms are fully completed. This includes making sure that the fingerprint charts are printed legibly or typed in black ink and all signatures are in black ink.

**Forms Submission:** The contractor must submit the completed forms for each employee and replacement employee (including each subcontractor employee) who will be performing under the contract to the Personnel Security SPO. The Government will not permit contractor personnel to perform under the contract until the prescreening process is complete. See prescreening below.

Cover Letter:

The contractor must provide a *cover letter* listing:

The names of employees for whom completed forms are submitted;

The contract number; and

The contractor's contact name and telephone number.

## EXHIBIT B Security Requirements

Notes: (1) The prescreening process may take up to fifteen (15) days. (2) If contractor personnel will require access to an SSA facility, the contractor should contact the SSA project officer to obtain a copy of the access procedures. Also note that some facilities require access forms to be completed and approved after prescreening is completed but before access. The access process may take as many as seven (7) days (five (5) working days) at a Headquarter's facility. For access to a regional or field facility, contact the SSA project officer to determine how much time may be needed.

The Personnel Security SPO's address is:

Social Security Administration  
OPE Security and Suitability Staff  
Room 1260 Dunleavy  
6401 Security Boulevard  
Baltimore, Maryland 21235

Phone: (410) 965-4548

Note: The SSA Project Officer (PO) needs to know for whom and when the completed forms are submitted. To accomplish this, when submitting the forms for processing, the contractor must send a copy of the cover letter or e-mail this information to the PO.

### **Waiver:**

For contractor employees performing services on-site at an SSA facility up to one (1) day *and* where access to programmatic or sensitive information is not required, the contractor may request that the Personnel Security SPO waive submission of the FD-258s and the Credit Authorization form.

If the SPO authorizes a waiver, it will apply only to the one (1) day for which the contractor requested it.

If an individual subsequently performs or is expected to perform additional work, the SPO will not approve another waiver. The contractor must therefore submit the FD-258s and Credit Authorization form.

### **Prescreening:**

The Personnel Security SPO will use the information from the completed forms as part of the basis for making a prescreening determination. The Personnel Security SPO will notify the contractor whether a prospective employee may or may perform under the contract pending a final suitability determination. Concurrently, the Personnel Security SPO will send a copy of the notification to the contracting officer and project officer.

### Timeframe for Prescreening

The contractor should anticipate that the Personnel Security SPO will issue the notification within fifteen (15) days after receipt of the properly completed forms.

### Final Suitability Determination

The Personnel Security SPO makes the final suitability determination for each contractor employee.

## EXHIBIT B Security Requirements

Note: The contractor may expect a final suitability determination to be received approximately 45 days after submittal of the completed forms.

### **Unsuitable Employees:**

If the Government determines that a contractor employee or applicant is unsuitable, the Personnel Security SPO will advise the contractor in writing that such employee may not continue to perform or begin performing under the contract. Concurrently, the Personnel Security SPO will send a copy of the notification to the CO and PO.

When the contractor receives the notification, the contractor must *immediately* remove the employee from performing under the contract. The contractor must confirm, in writing to the SPO, the date of the employee's removal.

Concurrently, the SPO will advise the PO and CO that he has notified the contractor that the proposed contractor personnel have been determined unsuitable/unfit to perform on the contract and must be replaced. The letter will also request that a replacement(s) be named and the appropriate security forms completed as quickly as possible in order that contract performance will not be adversely impacted. The SPO's letter will also advise the contractor to contact the CO if there are any contract performance problems related to the removal.

Neither the denial resulting from the prescreening nor the removal of an individual determined unsuitable gives rise to an equitable adjustment under the contract.

### **Contractor Notification to Government:**

In the event that contractor personnel performing on this contract either leave the company or are removed from the project, or are arrested or charged with a crime during the term of this contract, the contractor shall notify the Personnel Security SPO immediately. In the notification, the contractor must provide the contractor personnel name(s), SSN, the type of charge(s), the court date, and, if available, the disposition of the charge(s).

### **Government Control:**

The Government has full control over granting, denying, or withholding access to SSA facilities and for requiring the contractor to remove personnel from performing under the contract.

Following a successful prescreening, the Government will usually permit contractor personnel to work on the contract pending a final suitability determination.

Permitting a contractor employee to work does not assure that a favorable final suitability determination will follow. This permission to work or issuance of a favorable final suitability determination does not prevent, preclude, or bar the Government from withdrawing or terminating any such permission or suitability determination.



**EXHIBIT D**  
**SF85P – Questionnaire for Public Trust Positions**

Standard Form 85P  
Revised September 1995  
U.S. Office of Personnel Management  
5 CFR Parts 731, 732, and 736

Form approved:  
OMB No. 3206-0191  
NSN 7540-01-317-7372  
85-1602

## Questionnaire for Public Trust Positions

Follow instructions fully or we cannot process your form. Be sure to sign and date the certification statement on Page 7 and the release on Page 8. *If you have any questions, call the office that gave you the form.*

### Purpose of this Form

The U.S. Government conducts background investigations and reinvestigations to establish that applicants or incumbents either employed by the Government or working for the Government under contract, are suitable for the job and/or eligible for a public trust or sensitive position. Information from this form is used primarily as the basis for this investigation. Complete this form only after a conditional offer of employment has been made.

Giving us the information we ask for is voluntary. However, we may not be able to complete your investigation, or complete it in a timely manner, if you don't give us each item of information we request. This may affect your placement or employment prospects.

### Authority to Request this Information

The U.S. Government is authorized to ask for this information under Executive Orders 10450 and 10577, sections 3301 and 3302 of title 5, U.S. Code; and parts 5, 731, 732, and 736 of Title 5, Code of Federal Regulations.

Your Social Security number is needed to keep records accurate, because other people may have the same name and birth date. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

### The Investigative Process

Background investigations are conducted using your responses on this form and on your Declaration for Federal Employment (OF 306) to develop information to show whether you are reliable, trustworthy, of good conduct and character, and loyal to the United States. The information that you provide on this form is confirmed during the investigation. Your current employer must be contacted as part of the investigation, even if you have previously indicated on applications or other forms that you do not want this.

In addition to the questions on this form, inquiry also is made about a person's adherence to security requirements, honesty and integrity, vulnerability to exploitation or coercion, falsification, misrepresentation, and any other behavior, activities, or associations that tend to show the person is not reliable, trustworthy, or loyal.

### Your Personal Interview

Some investigations will include an interview with you as a normal part of the investigative process. This provides you the opportunity to update, clarify, and explain information on your form more completely, which often helps to complete your investigation faster. It is important that the interview be conducted as soon as possible after you are contacted. Postponements will delay the processing of your investigation, and declining to be interviewed may result in your investigation being delayed or canceled.

You will be asked to bring identification with your picture on it, such as a valid State driver's license, to the interview. There are other documents you may be asked to bring to verify your identity as well.

These include documentation of any legal name change, Social Security card, and/or birth certificate.

You may also be asked to bring documents about information you provided on the form or other matters requiring specific attention. These matters include alien registration, delinquent loans or taxes, bankruptcy, judgments, liens, or other financial obligations, agreements involving child custody or support, alimony or property settlements, arrests, convictions, probation, and/or parole.

### Instructions for Completing this Form

1. Follow the instructions given to you by the person who gave you the form and any other clarifying instructions furnished by that person to assist you in completion of the form. Find out how many copies of the form you are to turn in. You must sign and date, in black ink, the original and each copy you submit.

2. Type or legibly print your answers in black ink (if your form is not legible, it will not be accepted). You may also be asked to submit your form in an approved electronic format.

3. All questions on this form must be answered. If no response is necessary or applicable, indicate this on the form (for example, enter "None" or "N/A"). If you find that you cannot report an exact date, approximate or estimate the date to the best of your ability and indicate this by marking "APPROX." or "EST."

4. Any changes that you make to this form after you sign it must be initialed and dated by you. Under certain limited circumstances, agencies may modify the form consistent with your intent.

5. You must use the State codes (abbreviations) listed on the back of this page when you fill out this form. Do not abbreviate the names of cities or foreign countries.

6. The 5-digit postal ZIP codes are needed to speed the processing of your investigation. The office that provided the form will assist you in completing the ZIP codes.

7. All telephone numbers must include area codes.

8. All dates provided on this form must be in Month/Day/Year or Month/Year format. Use numbers (1-12) to indicate months. For example, June 10, 1978, should be shown as 6/10/78.

9. Whenever "City (Country)" is shown in an address block, also provide in that block the name of the country when the address is outside the United States.

10. If you need additional space to list your residences or employments/self-employments/unemployments or education, you should use a continuation sheet, SF 86A. If additional space is needed to answer other items, use a blank piece of paper. Each blank piece of paper you use must contain **your name and Social Security Number at the top of the page.**

# EXHIBIT D

## SF85P – Questionnaire for Public Trust Positions

### Final Determination on Your Eligibility

Final determination on your eligibility for a public trust or sensitive position and your being granted a security clearance is the responsibility of the Office of Personnel Management or the Federal agency that requested your investigation. You may be provided the opportunity personally to explain, refute, or clarify any information before a final decision is made.

### Penalties for Inaccurate or False Statements

The U.S. Criminal Code (title 18, section 1001) provides that knowingly falsifying or concealing a material fact is a felony which may result in fines of up to \$10,000, and/or 5 years imprisonment, or both. In addition, Federal agencies generally fire, do not grant a security clearance, or disqualify individuals who have materially and deliberately falsified these forms, and this remains a part of the permanent record for future placements. Because the position for which you are being considered is one of public trust or is sensitive, your trustworthiness is a very important consideration in deciding your suitability for placement or retention in the position.

Your prospects of placement are better if you answer all questions truthfully and completely. You will have adequate opportunity to explain any information you give us on the form and to make your comments part of the record.

### Disclosure of Information

The information you give us is for the purpose of investigating you for a position; we will protect it from unauthorized disclosure. The collection, maintenance, and disclosure of background investigative information is governed by the Privacy Act. The agency which requested the investigation and the agency which conducted the investigation have published notices in the Federal Register describing the system of records in which your records will be maintained. You may obtain copies of the relevant notices from the person who gave you this form. The information on this form, and information we collect during an investigation may be disclosed without your consent as permitted by the Privacy Act (5 USC 552a(b)) and as follows:

### PRIVACY ACT ROUTINE USES

1. To the Department of Justice when: (a) the agency or any component thereof, or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government, is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records by the Department of Justice is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.
2. To a court or adjudicative body in a proceeding when: (a) the agency or any component thereof; or (b) any employee of the agency in his or her official capacity; or (c) any employee of the agency in his or her individual capacity where the Department of Justice has agreed to represent the employee; or (d) the United States Government is a party to litigation or has interest in such litigation, and by careful review, the agency determines that the records are both relevant and necessary to the litigation and the use of such records is therefore deemed by the agency to be for a purpose that is compatible with the purpose for which the agency collected the records.
3. Except as noted in Question 21, when a record on its face, or in conjunction with other records, indicates a violation or potential violation of law, whether civil, criminal, or regulatory in nature, and whether arising by general statute, particular program statute, regulation, rule, or order issued pursuant thereto, the relevant records may be disclosed to the appropriate Federal, foreign, State, local, tribal, or other public authority responsible for enforcing, investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order.
4. To any source or potential source from which information is requested in the course of an investigation concerning the hiring or retention of an employee or other personnel action, or the issuing or retention of a security clearance, contract, grant, license, or other benefit, to the extent necessary to identify the individual, inform the source of the nature and purpose of the investigation, and to identify the type of information requested.
5. To a Federal, State, local, foreign, tribal, or other public authority the fact that this system of records contains information relevant to the retention of an employee, or the retention of a security clearance, contract, license, grant, or other benefit. The other agency or licensing organization may then make a request supported by written consent of the individual for the entire record if it so chooses. No disclosure will be made unless the information has been determined to be sufficiently reliable to support a referral to another office within the agency or to another Federal agency for criminal, civil, administrative, personnel, or regulatory action.
6. To contractors, grantees, experts, consultants, or volunteers when necessary to perform a function or service related to this record for which they have been engaged. Such recipients shall be required to comply with the Privacy Act of 1974, as amended.
7. To the news media or the general public, factual information the disclosure of which would be in the public interest and which would not constitute an unwarranted invasion of personal privacy.
8. To a Federal, State, or local agency, or other appropriate entities or individuals, or through established liaison channels to selected foreign governments, in order to enable an intelligence agency to carry out its responsibilities under the National Security Act of 1947 as amended, the CIA Act of 1949 as amended, Executive Order 12333 or any successor order, applicable national security directives, or classified implementing procedures approved by the Attorney General and promulgated pursuant to such statutes, orders or directives.
9. To a Member of Congress or to a Congressional staff member in response to an inquiry of the Congressional office made at the written request of the constituent about whom the record is maintained.
10. To the National Archives and Records Administration for records management inspections conducted under 44 USC 2904 and 2906.
11. To the Office of Management and Budget when necessary to the review of private relief legislation.

### STATE CODES (ABBREVIATIONS)

Alabama	AL	Hawaii	HI	Massachusetts	MA	New Mexico	NM	South Dakota	SD
Alaska	AK	Idaho	ID	Michigan	MI	New York	NY	Tennessee	TN
Arizona	AZ	Illinois	IL	Minnesota	MN	North Carolina	NC	Texas	TX
Arkansas	AR	Indiana	IN	Mississippi	MS	North Dakota	ND	Utah	UT
California	CA	Iowa	IA	Missouri	MO	Ohio	OH	Vermont	VT
Colorado	CO	Kansas	KS	Montana	MT	Oklahoma	OK	Virginia	VA
Connecticut	CT	Kentucky	KY	Nebraska	NE	Oregon	OR	Washington	WA
Delaware	DE	Louisiana	LA	Nevada	NV	Pennsylvania	PA	West Virginia	WV
Florida	FL	Maine	ME	New Hampshire	NH	Rhode Island	RI	Wisconsin	WI
Georgia	GA	Maryland	MD	New Jersey	NJ	South Carolina	SC	Wyoming	WY
American Samoa	AS	District of Columbia	DC	Guam	GU	Northern Marianas	CM	Puerto Rico	PR
Trust Territory	TT	Virgin Islands	VI						

### PUBLIC BURDEN INFORMATION

Public burden reporting for this collection of information is estimated to average 60 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden to Reports and Forms Management Officer, U.S. Office of Personnel Management, 1900 E Street, N.W., Room CHP-500, Washington, D.C. 20415. Do not send your completed form to this address.

# EXHIBIT D

## SF85P – Questionnaire for Public Trust Positions

Standard Form 85P (EG)  
 Revised September 1995  
 U.S. Office of Personnel Management  
 5 CFR Parts 731, 732, and 736

### QUESTIONNAIRE FOR PUBLIC TRUST POSITIONS

Form approved:  
 OMB No. 3206-0191  
 NSN 7540-01-317-7372  
 85-1602

OPM USE ONLY	Codes	Case Number
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**Agency Use Only (Complete items A through P using instructions provided by USOPM)**

A Type of Investigation	B Extra Coverage	C Sensitivity/Risk Level	D Compu./ADP	E Nature of Action Code	F Date of Action	Month	Day	Year
G Geographic Location	H Position Code	I Position Title						
J SON	K Location of Official Personnel Folder	None <input type="checkbox"/> NPRC <input type="checkbox"/> At SON		Other Address			ZIP Code	
L SOI	M Location of Security Folder	None <input type="checkbox"/> At SOI <input type="checkbox"/> NPI		Other Address			ZIP Code	
N OPAC-ALC Number	O Accounting Data and/or Agency Case Number							
P Requesting Official Name and Title			Signature			Telephone Number ( )		Date

**Persons completing this form should begin with the questions below.**

<p><b>1 FULL NAME</b>    • If you have only initials in your name, use them and state (IO).    - If you are a "Jr.," "Sr.," "II," etc., enter this in the box after your middle name.</p> <p>• If you have no middle name, enter "NMN".</p>	<p><b>2 DATE OF BIRTH</b></p>
Last Name                      First Name                      Middle Name                      Jr., II, etc.                      Month                      Day                      Year	

<p><b>3 PLACE OF BIRTH</b> - Use the two letter code for the State.</p> City                      County                      State                      Country (if not in the United States)	<p><b>4 SOCIAL SECURITY NUMBER</b></p>
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**5 OTHER NAMES USED**

#1 Name	Month/Year	To	#3 Name	Month/Year	To
#2 Name	Month/Year	To	#4 Name	Month/Year	To

**6 OTHER IDENTIFYING INFORMATION**

Height (feet and inches)	Weight (pounds)	Hair Color	Eye Color	Sex (Mark one box)
				<input type="checkbox"/> Female <input type="checkbox"/> Male

**7 TELEPHONE NUMBERS**

Work (include Area Code and extension)	Home (include Area Code)
Day ( )	Day ( )
Night ( )	Night ( )

**8 CITIZENSHIP**

<p><b>a</b> Mark the box at the right that reflects your current citizenship status, and follow its instructions.</p> <p><input type="checkbox"/> I am a U.S. citizen or national by birth in the U.S. or U.S. territory/possession. Answer items b and d.</p> <p><input type="checkbox"/> I am a U.S. citizen, but I was NOT born in the U.S. Answer items b, c and d.</p> <p><input type="checkbox"/> I am not a U.S. citizen. Answer items b and e.</p>	<p><b>b</b> Your Mother's Maiden Name</p>
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**c UNITED STATES CITIZENSHIP** If you are a U.S. Citizen, but were not born in the U.S., provide information about one or more of the following proofs of your citizenship.

**Naturalization Certificate (Where were you naturalized?)**

Court	City	State	Certificate Number	Month/Day/Year Issued
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**Citizenship Certificate (Where was the certificate issued?)**

City	State	Certificate Number	Month/Day/Year Issued
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**State Department Form 240 - Report of Birth Abroad of a Citizen of the United States**

Give the date the form was prepared and give an explanation if needed.	Month/Day/Year	Explanation
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U.S. Passport

This may be either a current or previous U.S. Passport	Passport Number	Month/Day/Year Issued
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**d DUAL CITIZENSHIP** If you are (or were) a dual citizen of the United States and another country, provide the name of that country in the space to the right.

Country
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**e ALIEN** If you are an alien, provide the following information:

Place You Entered the United States:	City	State	Date You Entered U.S.	Alien Registration Number	Country(ies) of Citizenship
			Month    Day    Year		

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**9 WHERE YOU HAVE LIVED**

List the places where you have lived, beginning with the most recent (#1) and working back 7 years. All periods must be accounted for in your list. Be sure to indicate the actual physical location of your residence: do not use a post office box as an address, do not list a permanent address when you were actually living at a school address, etc. Be sure to specify your location as closely as possible: for example, do not list only your base or ship, list your barracks number or home port. You may omit temporary military duty locations under 90 days (list your permanent address instead), and you should use your APO/FPO address if you lived overseas.

For any address in the last 5 years, list a person who knew you at that address, and who preferably still lives in that area (do not list people for residences completely outside this 5-year period, and do not list your spouse, former spouses, or other relatives). Also for addresses in the last 5 years, if the address is "General Delivery," a Rural or Star Route, or may be difficult to locate, provide directions for locating the residence on an attached continuation sheet.

<b>#1</b>	Month/Year To	Month/Year Present	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knows You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )							
<b>#2</b>	Month/Year To	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )							
<b>#3</b>	Month/Year To	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )							
<b>#4</b>	Month/Year To	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )							
<b>#5</b>	Month/Year To	Month/Year	Street Address	Apt. #	City (Country)	State	ZIP Code
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State	ZIP Code
Telephone Number ( )							

**10 WHERE YOU WENT TO SCHOOL**

List the schools you have attended, beyond Junior High School, beginning with the most recent (#1) and working back 7 years. List all College or University degrees and the dates they were received. If all of your education occurred more than 7 years ago, list your most recent education beyond high school, no matter when that education occurred.

Use one of the following codes in the "Code" block:

- 1 - High School                      2 - College/University/Military College                      3 - Vocational/Technical/Trade School

For schools you attended in the past 3 years, list a person who knew you at school (an instructor, student, etc.). Do not list people for education completely outside this 3-year period.

For correspondence schools and extension classes, provide the address where the records are maintained.

<b>#1</b>	Month/Year To	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School						
State      ZIP Code						
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State      ZIP Code
Telephone Number ( )						
<b>#2</b>	Month/Year To	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School						
State      ZIP Code						
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State      ZIP Code
Telephone Number ( )						
<b>#3</b>	Month/Year To	Month/Year	Code	Name of School	Degree/Diploma/Other	Month/Year Awarded
Street Address and City (Country) of School						
State      ZIP Code						
Name of Person Who Knew You			Street Address	Apt. #	City (Country)	State      ZIP Code
Telephone Number ( )						

Enter your Social Security Number before going to the next page

# EXHIBIT D

## SF85P – Questionnaire for Public Trust Positions

**11 YOUR EMPLOYMENT ACTIVITIES**

List your employment activities, beginning with the present (#1) and working back 7 years. You should list all full-time work, part-time work, military service, temporary military duty locations over 90 days, self-employment, other paid work, and all periods of unemployment. The entire 7-year period must be accounted for without breaks, but you need not list employments before your 16th birthday.

● **Code.** Use one of the codes listed below to identify the type of employment:

- |                                   |   |  |
|-----------------------------------|---|--|
| 1 - Active military duty stations | 5 - State Government (Non-Federal employment)                               | 7 - Unemployment (Include name of person who can verify)     |
| 2 - National Guard/Reserve        | 6 - Self-employment (Include business and/or name of person who can verify) | 8 - Federal Contractor (List Contractor, not Federal agency) |
| 3 - U.S.P.H.S. Commissioned Corps |   | 9 - Other  |
| 4 - Other Federal employment      |   |  |

● **Employer/Verifier Name.** List the business name of your employer or the name of the person who can verify your self-employment or unemployment in this block. If military service is being listed, include your duty location or home port here as well as your branch of service. You should provide separate listings to reflect changes in your military duty locations or home ports.

● **Previous Periods of Activity.** Complete these lines if you worked for an employer on more than one occasion at the same location. After entering the most recent period of employment in the initial numbered block, provide previous periods of employment at the same location on the additional lines provided. For example, if you worked at XY Plumbing in Denver, CO, during 3 separate periods of time, you would enter dates and information concerning the most recent period of employment first, and provide dates, position titles, and supervisors for the two previous periods of employment on the lines below that information.

<b>#1</b>	Month/Year To	Month/Year Present	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
<b>PREVIOUS PERIODS OF ACTIVITY (Block #1)</b>	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
	To						
<b>#2</b>	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
<b>PREVIOUS PERIODS OF ACTIVITY (Block #2)</b>	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
	To						
<b>#3</b>	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )
<b>PREVIOUS PERIODS OF ACTIVITY (Block #3)</b>	Month/Year	Month/Year		Position Title	Supervisor		
	To						
	Month/Year	Month/Year		Position Title	Supervisor		
	To						

Enter your Social Security Number before going to the next page →

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**YOUR EMPLOYMENT ACTIVITIES (CONTINUED)**

<b>#4</b>	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )

<b>PREVIOUS PERIODS OF ACTIVITY (Block #4)</b>	Month/Year To	Month/Year	Position Title	Supervisor
	Month/Year To	Month/Year	Position Title	Supervisor
	Month/Year To	Month/Year	Position Title	Supervisor

<b>#5</b>	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )

<b>PREVIOUS PERIODS OF ACTIVITY (Block #5)</b>	Month/Year To	Month/Year	Position Title	Supervisor
	Month/Year To	Month/Year	Position Title	Supervisor
	Month/Year To	Month/Year	Position Title	Supervisor

<b>#6</b>	Month/Year To	Month/Year	Code	Employer/Verifier Name/Military Duty Location	Your Position Title/Military Rank		
Employer's/Verifier's Street Address				City (Country)	State	ZIP Code	Telephone Number ( )
Street Address of Job Location (if different than Employer's Address)				City (Country)	State	ZIP Code	Telephone Number ( )
Supervisor's Name & Street Address (if different than Job Location)				City (Country)	State	ZIP Code	Telephone Number ( )

<b>PREVIOUS PERIODS OF ACTIVITY (Block #6)</b>	Month/Year To	Month/Year	Position Title	Supervisor
	Month/Year To	Month/Year	Position Title	Supervisor
	Month/Year To	Month/Year	Position Title	Supervisor

<b>12</b>	<b>YOUR EMPLOYMENT RECORD</b>	Yes	No
Has any of the following happened to you in the last 7 years? If "Yes," begin with the most recent occurrence and go backward, providing date fired, quit, or left, and other information requested.			

- Use the following codes and explain the reason your employment was ended:
- 1 - Fired from a job
  - 2 - Quit a job after being told you'd be fired
  - 3 - Left a job by mutual agreement following allegations of misconduct
  - 4 - Left a job by mutual agreement following allegations of unsatisfactory performance
  - 5 - Left a job for other reasons under unfavorable circumstances

Month/Year	Code	Specify Reason	Employer's Name and Address (Include city/Country if outside U.S.)	State	ZIP Code

Enter your Social Security Number before going to the next page →



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<b>16 YOUR MILITARY HISTORY</b>	Yes	No
<b>a</b> Have you served in the United States military?		
<b>b</b> Have you served in the United States Merchant Marine?		

List all of your military service below, including service in Reserve, National Guard, and U.S. Merchant Marine. Start with the most recent period of service (#1) and work backward. If you had a break in service, each separate period should be listed.

•**Code.** Use one of the codes listed below to identify your branch of service:

- 1 - Air Force    2 - Army    3 - Navy    4 - Marine Corps    5 - Coast Guard    6 - Merchant Marine    7 - National Guard

•**O/E.** Mark "O" block for Officer or "E" block for Enlisted.

•**Status.** "X" the appropriate block for the status of your service during the time that you served. If your service was in the National Guard, do not use an "X"; use the two-letter code for the state to mark the block.

•**Country.** If your service was with other than the U.S. Armed Forces, identify the country for which you served.

Month/Year	Month/Year	Code	Service/Certificate No.	Status				Country
				O	E	Active	Inactive Reserve	
To								
To								

<b>17 YOUR SELECTIVE SERVICE RECORD</b>	Yes	No
<b>a</b> Are you a male born after December 31, 1959? If "No," go to 18. If "Yes," go to b.		
<b>b</b> Have you registered with the Selective Service System? If "Yes," provide your registration number. If "No," show the reason for your legal exemption below.		

Registration Number \_\_\_\_\_ Legal Exemption Explanation \_\_\_\_\_

<b>18 YOUR INVESTIGATIONS RECORD</b>	Yes	No
<b>a</b> Has the United States Government ever investigated your background and/or granted you a security clearance? If "Yes," use the codes that follow to provide the requested information below. If "Yes," but you can't recall the investigating agency and/or the security clearance received, enter "Other" agency code or clearance code, as appropriate, and "Don't know" or "Don't recall" under the "Other Agency" heading, below. If your response is "No," or you don't know or can't recall if you were investigated and cleared, check the "No" box.		

<b>Codes for Investigating Agency</b> 1 - Defense Department 2 - State Department 3 - Office of Personnel Management 4 - FBI 5 - Treasury Department 6 - Other (Specify)	<b>Codes for Security Clearance Received</b> 0 - Not Required 1 - Confidential 2 - Secret 3 - Top Secret 4 - Sensitive Compartmented Information 5 - Q 6 - L 7 - Other
--	--

Month/Year	Agency Code	Other Agency	Clearance Code	Month/Year	Agency Code	Other Agency	Clearance Code

<b>b</b> To your knowledge, have you ever had a clearance or access authorization denied, suspended, or revoked, or have you ever been debarred from government employment? If "Yes," give date of action and agency. <b>Note:</b> An administrative downgrade or termination of a security clearance is not a revocation.	Yes	No
--	-----	----

Month/Year	Department or Agency Taking Action	Month/Year	Department or Agency Taking Action

<b>19 FOREIGN COUNTRIES YOU HAVE VISITED</b>	Yes	No
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List foreign countries you have visited, except on travel under official Government orders, beginning with the most current (#1) and working back 7 years. (Travel as a dependent or contractor must be listed.)

•Use one of these codes to indicate the purpose of your visit: 1 - Business    2 - Pleasure    3 - Education    4 - Other

•Include short trips to Canada or Mexico. If you have lived near a border and have made short (one day or less) trips to the neighboring country, you do not need to list each trip. Instead, provide the time period, the code, the country, and a note ("Many Short Trips").

•Do not repeat travel covered in items 9, 10, or 11.

Month/Year	Month/Year	Code	Country	Month/Year	Month/Year	Code	Country
#1	To			#5	To		
#2	To			#6	To		
#3	To			#7	To		
#4	To			#8	To		

Enter your Social Security Number before going to the next page →

**EXHIBIT D**  
**SF85P – Questionnaire for Public Trust Positions**

<b>20 YOUR POLICE RECORD</b> <i>(Do not include anything that happened before your 18th birthday.)</i>					Yes	No
In the last 7 years, have you been arrested for, charged with, or convicted of any offense(s)? <i>(Leave out traffic fines of less than \$150.)</i>						
If you answered "Yes," explain your answer(s) in the space provided.						
Month/Year	Offense	Action Taken	Law Enforcement Authority or Court <i>(City and county/country if outside the U.S.)</i>	State	ZIP Code	

<b>21 ILLEGAL DRUGS</b>					Yes	No
The following questions pertain to the illegal use of drugs or drug activity. You are required to answer the questions fully and truthfully, and your failure to do so could be grounds for an adverse employment decision or action against you, but neither your truthful responses nor information derived from your responses will be used as evidence against you in any subsequent criminal proceeding.						
<b>a</b> In the last year, have you <u>illegally</u> used any controlled substance, for example, marijuana, cocaine, crack cocaine, hashish, narcotics (opium, morphine, codeine, heroin, etc.), amphetamines, depressants (barbiturates, methaqualone, tranquilizers, etc.), hallucinogenics (LSD, PCP, etc.), or prescription drugs?						
<b>b</b> In the last 7 years, have you been involved in the illegal purchase, manufacture, trafficking, production, transfer, shipping, receiving, or sale of any narcotic, depressant, stimulant, hallucinogen, or cannabis, for your own intended profit or that of another?						
If you answered "Yes" to "a" above, provide information relating to the types of substance(s), the nature of the activity, and any other details relating to your involvement with illegal drugs. Include any treatment or counseling received.						
Month/Year	Month/Year	Controlled Substance/Prescription Drug Used			Number of Times Used	
To						
To						
To						

<b>22 YOUR FINANCIAL RECORD</b>					Yes	No
<b>a</b> In the last 7 years, have you, or a company over which you exercised some control, filed for bankruptcy, been declared bankrupt, been subject to a tax lien, or had legal judgment rendered against you for a debt? If you answered "Yes," provide date of initial action and other information requested below.						
Month/Year	Type of Action	Name Action Occurred Under	Name/Address of Court or Agency Handling Case	State	ZIP Code	

<b>b</b> Are you now over 180 days delinquent on any loan or financial obligation? Include loans or obligations funded or guaranteed by the Federal Government.					Yes	No
If you answered "Yes," provide the information requested below:						
Month/Year	Type of Loan or Obligation and Account #	Name/Address of Creditor or Obligee	State	ZIP Code		

After completing this form and any attachments, you should review your answers to all questions to make sure the form is complete and accurate, and then sign and date the following certification and sign and date the release on Page 8.

**Certification That My Answers Are True**

My statements on this form, and any attachments to it, are true, complete, and correct to the best of my knowledge and belief and are made in good faith. I understand that a knowing and willful false statement on this form can be punished by fine or imprisonment or both. (See section 1001 of title 18, United States Code).

Signature <i>(Sign in ink)</i>	Date

Enter your Social Security Number before going to the next page

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Standard Form 85P  
 Revised September 1995  
 U.S. Office of Personnel Management  
 5 CFR Parts 731, 732, and 736

Form approved:  
 OMB No. 3206-0191  
 NSN 7540-01-317-7372  
 85-1602

**UNITED STATES OF AMERICA**  
**AUTHORIZATION FOR RELEASE OF INFORMATION**

Carefully read this authorization to release information about you, then sign and date it in ink.

**I Authorize** any investigator, special agent, or other duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain any information relating to my activities from individuals, schools, residential management agents, employers, criminal justice agencies, credit bureaus, consumer reporting agencies, collection agencies, retail business establishments, or other sources of information. This information may include, but is not limited to, my academic, residential, achievement, performance, attendance, disciplinary, employment history, criminal history record information, and financial and credit information. I authorize the Federal agency conducting my investigation to disclose the record of my background investigation to the requesting agency for the purpose of making a determination of suitability or eligibility for a security clearance.

**I Understand** that, for financial or lending institutions, medical institutions, hospitals, health care professionals, and other sources of information, a separate specific release will be needed, and I may be contacted for such a release at a later date. Where a separate release is requested for information relating to mental health treatment or counseling, the release will contain a list of the specific questions, relevant to the job description, which the doctor or therapist will be asked.

**I Further Authorize** any investigator, special agent, or other duly accredited representative of the U.S. Office of Personnel Management, the Federal Bureau of Investigation, the Department of Defense, the Defense Investigative Service, and any other authorized Federal agency, to request criminal record information about me from criminal justice agencies for the purpose of determining my eligibility for assignment to, or retention in a sensitive National Security position, in accordance with 5 U.S.C. 9101. I understand that I may request a copy of such records as may be available to me under the law.

**I Authorize** custodians of records and other sources of information pertaining to me to release such information upon request of the investigator, special agent, or other duly accredited representative of any Federal agency authorized above regardless of any previous agreement to the contrary.

**I Understand** that the information released by records custodians and sources of information is for official use by the Federal Government only for the purposes provided in this Standard Form 85P, and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for five (5) years from the date signed or upon the termination of my affiliation with the Federal Government, whichever is sooner.

Signature <i>(Sign in ink)</i>	Full Name <i>(Type or Print Legibly)</i>	Date Signed
Other Names Used		Social Security Number
Current Address <i>(Street, City)</i>	State	ZIP Code
		Home Telephone Number <i>(Include Area Code)</i> (      )

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Revised September 1995  
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Form approved:  
OMB No. 3206-0191  
NSN 7540-01-317-7372  
85-1602

**UNITED STATES OF AMERICA**  
**AUTHORIZATION FOR RELEASE OF MEDICAL INFORMATION**

Carefully read this authorization to release information about you, then sign and date it in black ink.

**Instructions for Completing this Release**

This is a release for the investigator to ask your health practitioner(s) the three questions below concerning your mental health consultations. Your signature will allow the practitioner(s) to answer only these questions.

I am seeking assignment to or retention in a position of public trust with the Federal Government as a(n)

---

(Investigator instructed to write in position title.)

As part of the investigative process, **I hereby authorize** the investigator, special agent, or duly accredited representative of the authorized Federal agency conducting my background investigation, to obtain the following information relating to my mental health consultations:

Does the person under investigation have a condition or treatment that could impair his/her judgment or reliability?

If so, please describe the nature of the condition and the extent and duration of the impairment or treatment.

What is the prognosis?

I understand that the information released pursuant to this release is for use by the Federal Government only for purposes provided in the Standard Form 85P and that it may be redisclosed by the Government only as authorized by law.

Copies of this authorization that show my signature are as valid as the original release signed by me. This authorization is valid for 1 year from the date signed or upon termination of my affiliation with the Federal Government, whichever is sooner.

Signature <i>(Sign in ink)</i>	Full Name <i>(Type or Print Legibly)</i>	Date Signed
Other Names Used		Social Security Number
Current Address <i>(Street, City)</i>	State	ZIP Code
Home Telephone Number <i>(Include Area Code)</i> (      )		

**Print Form**

**Save Form**

**Clear Form**

## Declaration for Federal Employment

Form Approved  
OMB No. 3206-0182

### Instructions

The information collected on this form is used to determine your acceptability for Federal and Federal contract employment and your enrollment status in the Government's Life Insurance program. You may be asked to complete this form at any time during the hiring process. Follow instructions that the agency provides. If you are selected, before you are appointed you will be asked to update your responses on this form and on other materials submitted during the application process and then to recertify that your answers are true.

All your answers must be truthful and complete. **A false statement on any part of this declaration or attached forms or sheets may be grounds for not hiring you, or for firing you after you begin work. Also, you may be punished by a fine or imprisonment (U.S. Code, title 18, section 1001).**

Either type your responses on this form or print clearly in dark ink. If you need additional space, attach letter-size sheets (8.5" X 11"). Include your name, Social Security Number, and item number on each sheet. We recommend that you keep a photocopy of your completed form for your records.

### Privacy Act Statement

The Office of Personnel Management is authorized to request this information under sections 1302, 3301, 3304, 3328, and 8716 of title 5, U. S. Code. Section 1104 of title 5 allows the Office of Personnel Management to delegate personnel management functions to other Federal agencies. If necessary, and usually in conjunction with another form or forms, this form may be used in conducting an investigation to determine your suitability or your ability to hold a security clearance, and it may be disclosed to authorized officials making similar, subsequent determinations.

Your Social Security Number (SSN) is needed to keep our records accurate, because other people may have the same name and birth date. Public Law 104-134 (April 26, 1996) asks Federal agencies to use this number to help identify individuals in agency records. Giving us your SSN or any other information is voluntary. However, if you do not give us your SSN or any other information requested, we cannot process your application. Incomplete addresses and ZIP Codes may also slow processing.

ROUTINE USES: Any disclosure of this record or information in this record is in accordance with routine uses found in System Notice OPM/GOVT-1, General Personnel Records. This system allows disclosure of information to: training facilities; organizations deciding claims for retirement, insurance, unemployment, or health benefits; officials in litigation or administrative proceedings where the Government is a party; law enforcement agencies concerning a violation of law or regulation; Federal agencies for statistical reports and studies; officials of labor organizations recognized by law in connection with representation of employees; Federal agencies or other sources requesting information for Federal agencies in connection with hiring or retaining, security clearance, security or suitability investigations, classifying jobs, contracting, or issuing licenses, grants, or other benefits; public and private organizations, including news media, which grant or publicize employee recognitions and awards; the Merit Systems Protection Board, the Office of Special Counsel, the Equal Employment Opportunity Commission, the Federal Labor Relations Authority, the National Archives and Records Administration, and Congressional offices in connection with their official functions; prospective non-Federal employers concerning tenure of employment, civil service status, length of service, and the date and nature of action for separation as shown on the SF 50 (or authorized exception) of a specifically identified individual; requesting organizations or individuals concerning the home address and other relevant information on those who might have contracted an illness or been exposed to a health hazard; authorized Federal and non-Federal agencies for use in computer matching; spouses or dependent children asking whether the employee has changed from a self-and-family to a self-only health benefits enrollment; individuals working on a contract, service, grant, cooperative agreement, or job for the Federal government; non-agency members of an agency's performance or other panel; and agency-appointed representatives of employees concerning information issued to the employees about fitness-for-duty or agency-filed disability retirement procedures.

### Public Burden Statement

Public burden reporting for this collection of information is estimated to vary from 5 to 30 minutes with an average of 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of the collection of information, including suggestions for reducing this burden, to the U.S. Office of Personnel Management, Reports and Forms Manager (3206-0182), Washington, DC 20415-7900. The OMB number, 3206-0182, is valid. OPM may not collect this information, and you are not required to respond, unless this number is displayed.

## Declaration for Federal Employment

Form Approved  
OMB No. 3206-0182

### GENERAL INFORMATION

1. FULL NAME (First, middle, last) ◆	2. SOCIAL SECURITY NUMBER ◆
3. PLACE OF BIRTH (Include city and state or country) ◆	4. DATE OF BIRTH (MM/DD/YYYY) ◆
5. OTHER NAMES EVER USED (For example, maiden name, nickname, etc) ◆ ◆	6. PHONE NUMBERS (Include area codes) Day ◆ Night ◆

### Selective Service Registration

If you are a male born after December 31, 1959, and are at least 18 years of age, civil service employment law (5 U.S.C. 3328) requires that you must register with the Selective Service System, unless you meet certain exemptions.

- 7a. Are you a male born after December 31, 1959?     YES     NO    *If "NO" skip 7b and 7c. If "YES" go to 7b.*  
 7b. Have you registered with the Selective Service System?     YES     NO    *If "NO" go to 7c.*  
 7c. If "NO," describe your reason(s) in item #16.

### Military Service

8. Have you ever served in the United States military?     YES *Provide information below*     NO  
*If you answered "YES," list the branch, dates, and type of discharge for all active duty.  
 If your only active duty was training in the Reserves or National Guard, answer "NO."*

Branch	From <small>MMDD/YYYY</small>	To <small>MMDD/YYYY</small>	Type of Discharge

### Background Information

For all questions, provide all additional requested information under item 16 or on attached sheets. The circumstances of each event you list will be considered. However, in most cases you can still be considered for Federal jobs.

For questions 9,10, and 11, your answers should include convictions resulting from a plea of *nolo contendere* (no contest), but omit (1) traffic fines of \$300 or less, (2) any violation of law committed before your 16th birthday, (3) any violation of law committed before your 18th birthday if finally decided in juvenile court or under a Youth Offender law, (4) any conviction set aside under the Federal Youth Corrections Act or similar state law, and (5) any conviction for which the record was expunged under Federal or state law.

9. During the last 10 years, have you been convicted, been imprisoned, been on probation, or been on parole? (Includes felonies, firearms or explosives violations, misdemeanors, and all other offenses.) <i>If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the police department or court involved.</i>	YES	NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
10. Have you been convicted by a military court-martial in the past 10 years? <i>(If no military service, answer "NO.") If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the military authority or court involved.</i>	YES	NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
11. Are you now under charges for any violation of law? <i>If "YES," use item 16 to provide the date, explanation of the violation, place of occurrence, and the name and address of the police department or court involved.</i>	YES	NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
12. During the last 5 years, have you been fired from any job for any reason, did you quit after being told that you would be fired, did you leave any job by mutual agreement because of specific problems, or were you debarred from Federal employment by the Office of Personnel Management or any other Federal agency? <i>If "YES," use item 16 to provide the date, an explanation of the problem, reason for leaving, and the employer's name and address.</i>	YES	NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
13. Are you delinquent on any Federal debt? (Includes delinquencies arising from Federal taxes, loans, overpayment of benefits, and other debts to the U.S. Government, plus defaults of Federally guaranteed or insured loans such as student and home mortgage loans.) <i>If "YES," use item 16 to provide the type, length, and amount of the delinquency or default, and steps that you are taking to correct the error or repay the debt.</i>	YES	NO
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Declaration for Federal Employment

Form Approved: OMB No. 3206-0182

Additional Questions

14. Do any of your relatives work for the agency or government organization to which you are submitting this form? (Include: father, mother, husband, wife, son, daughter, brother, sister, uncle, aunt, first cousin, nephew, niece, father-in-law, mother-in-law, son-in-law, daughter-in-law, brother-in-law, sister-in-law, stepfather, stepmother, stepson, stepdaughter, stepbrother, stepsister, half brother, and half sister.) If "YES," use item 16 to provide the relative's name, relationship, and the department, agency, or branch of the Armed Forces for which your relative works.

YES NO [ ] [ ]

15. Do you receive, or have you ever applied for, retirement pay, pension, or other retired pay based on military, Federal civilian, or District of Columbia Government service?

YES NO [ ] [ ]

Continuation Space / Agency Optional Questions

16. Provide details requested in items 7 through 15 and 18c in the space below or on attached sheets. Be sure to identify attached sheets with your name, Social Security Number, and item number, and to include ZIP Codes in all addresses. If any questions are printed below, please answer as instructed (these questions are specific to your position and your agency is authorized to ask them).

Certifications / Additional Questions

APPLICANT: If you are applying for a position and have not yet been selected, carefully review your answers on this form and any attached sheets. When this form and all attached materials are accurate, read item 17, and complete 17a.

APPOINTEE: If you are being appointed, carefully review your answers on this form and any attached sheets, including any other application materials that your agency has attached to this form. If any information requires correction to be accurate as of the date you are signing, make changes on this form or the attachments and/or provide updated information on additional sheets, initialing and dating all changes and additions. When this form and all attached materials are accurate, read item 17, complete 17b, read 18, and answer 18a, 18b, and 18c as appropriate.

17. I certify that, to the best of my knowledge and belief, all of the information on and attached to this Declaration for Federal Employment, including any attached application materials, is true, correct, complete, and made in good faith. I understand that a false or fraudulent answer to any question or item on any part of this declaration or its attachments may be grounds for not hiring me, or for firing me after I begin work, and may be punishable by fine or imprisonment. I understand that any information I give may be investigated for purposes of determining eligibility for Federal employment as allowed by law or Presidential order. I consent to the release of information about my ability and fitness for Federal employment by employers, schools, law enforcement agencies, and other individuals and organizations to investigators, personnel specialists, and other authorized employees or representatives of the Federal Government. I understand that for financial or lending institutions, medical institutions, hospitals, health care professionals, and some other sources of information, a separate specific release may be needed, and I may be contacted for such a release at a later date.

17a. Applicant's Signature: \_\_\_\_\_ Date \_\_\_\_\_ (Sign in ink)

17b. Appointee's Signature: \_\_\_\_\_ Date \_\_\_\_\_ (Sign in ink)

Appointing Officer: Enter Date of Appointment or Conversion MM / DD / YYYY

18. Appointee (Only respond if you have been employed by the Federal Government before): Your elections of life insurance during previous Federal employment may affect your eligibility for life insurance during your new appointment. These questions are asked to help your personnel office make a correct determination.

18a. When did you leave your last Federal job? DATE: MM / DD / YYYY

18b. When you worked for the Federal Government the last time, did you waive Basic Life Insurance or any type of optional life insurance? YES NO Do Not Know [ ] [ ] [ ]

18c. If you answered "YES" to item 18b, did you later cancel the waiver(s)? If your answer to item 18c is "NO," use item 16 to identify the type(s) of insurance for which waivers were not canceled. YES NO Do Not Know [ ] [ ] [ ]

**Exhibit F**  
**Federal Investigations Notice**  
**Letter No. 98-02**  
**Date: March 6, 1998**

On September 30, 1997, amendments to the Fair Credit Reporting Act (FCRA) (15 U.S.C. § 1681, *et seq.*) became effective as a result of the Consumer Credit Reporting Reform Act of 1996. The amendments require changes on the part of the users of consumer reports and providers of information to consumer reporting agencies. These changes impact on OPM-IS as the provider of investigative services to other Federal agencies, and on our customer agencies as the final users of credit information gathered as a result of OPM's investigations.

Most notably, **Section 1681b** of title 15 addresses permissible purposes for which consumer reports may be furnished and conditions for furnishing and using consumer reports for employment purposes. If an agency intends to use a consumer report for employment purposes, **Subsection 1681b (b) (2)** of title 15 requires that the applicant/employee be notified in a document consisting solely of the notice that a consumer report may be used, and the applicant/employee must authorize this use in writing before the consumer report is obtained.

**Subsection 1681b (b)(3)** of title 15 requires that, before taking adverse action relative to an employment decision based on a consumer report, the agency must provide the consumer with a copy of the report, and a copy of the Federal Trade Commission's (FTC) Consumer Rights Notice.

The notice, disclosure, certification and adverse action requirements of the **FCRA** do not directly apply to OPM-IS in its role as the provider of investigative services to other requesting Federal agencies. However, we do obtain credit reports on behalf of other Federal agencies, and will require those Federal agencies to certify that they are the procurer of the credit report and that they are compliant with the FCRA's relevant provisions. We are, therefore, sending under separate cover a request to each agency for a one-time blanket certification to this effect, to be completed and returned to OPM-IS no later than May 1, 1998.

We will ask that the certification acknowledge that the requesting Federal agency is the procurer of the credit report for purposes of compliance with the FCRA.

We will also ask that the requesting Federal agency certify that it is compliant with all relevant provisions of the FCRA. This certification should include certification that the agency will (a) clearly and conspicuously disclose to the



Your Social Security Number is needed to keep records accurate, because other people may have the same name. Executive Order 9397 also asks Federal agencies to use this number to help identify individuals in agency records.

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#### A Summary of Your Rights Under the Fair Credit Reporting Act

The federal Fair Credit Reporting Act (FCRA) is designed to promote accuracy, fairness, and privacy of information in the files of every "consumer reporting agency" (CRA). Most CRAs are credit bureaus that gather and sell information about you -- such as if you pay your bills on time or have filed bankruptcy -- to creditors, employers, landlords, and other businesses. You can find the complete text of the FCRA, 15 U.S. C. 1681-1681u, at the Federal Trade Commission's web site (<http://www.FTC.GOV>). The FCRA gives you specific rights, as outlined below. You may have additional rights under state law. You may contact a state or local consumer protection agency or a state attorney general to learn those rights.

- You must be told if information in your file has been used against you. Anyone who uses information from a CRA to take action against you -- such as denying an application for credit, insurance, or employment -- must tell you, and give you the name, address, and phone number of the CRA that provided the consumer report.
- You can find out what is in your file. At your request, a CRA must give you the information in your file, and a list of everyone who has requested it recently. There is no charge for the report if a person has taken action against you because of information supplied by the CRA, if you request the report within 60 days of receiving notice of the action. You also are entitled to one free report every twelve months upon request if you certify that (1) you are unemployed and plan to seek employment within 60 days, (2) you are on welfare, or (3) your report is inaccurate due to fraud. Otherwise, a CRA may charge you up to eight dollars.
- You can dispute inaccurate information with the CRA. If you tell a CRA that your file contains inaccurate information, the CRA must investigate the items (usually within 30 days) by presenting to its information source all relevant evidence you submit, unless your dispute is frivolous. The source must review your evidence and report its findings to the CRA. (The source also must advise national CRAs -- to which it has provided the data -- of any error.) The CRA must give you a written report of the investigation, and a copy of your report if the investigation results in any change. If the CRA's investigation does not resolve the dispute, you may add a brief statement to your file. The CRA must normally include a summary of your statement in future reports. If an item is deleted or a dispute statement is filed, you may ask that anyone who has recently received your report be notified of the change.
- Inaccurate information must be corrected or deleted. A CRA must remove or correct inaccurate or unverified information from its files, usually within 30 days after you dispute it. However, the CRA is not required to remove accurate data from your file unless it is outdated (as described below) or cannot be verified. If your dispute results in any change to your report, the CRA cannot reinsert into your file a disputed item unless the information source verifies its accuracy and completeness. In addition, the CRA must give you a written notice telling you it has reinserted the item. The notice must include the name, address and phone number of the information source.
- You can dispute inaccurate items with the source of the information. If you tell anyone - such as a creditor who reports to a CRA -- that you dispute an item, they may not then report the information to a CRA without including a notice of your dispute. In addition, once you've notified the source of the error in writing, it may not continue to report the information if it is, in fact, an error.
- Outdated information may not be reported. In most cases, a CRA may not report negative information that is more than seven years old; ten years for bankruptcies.
- Access to your file is limited. A CRA may provide information about you only to people with a need recognized by the FCRA -- usually to consider an application with a creditor, insurer, employer, landlord, or other business.

- Your consent is required for reports that are provided to employers, or reports that contain medical information. A CRA may not give out information about you to your employer, or prospective employer, without your written consent. A CRA may not report medical information about you to creditors, insurers, or employers, without your permission.
- You may choose to exclude your name from CRA lists for unsolicited credit and insurance offers. Creditors and insurers may use file information as the basis for sending you unsolicited offers of credit or insurance. Such offers must include a toll-free phone number for you to call if you want your name and address removed from future lists. If you call, you must be kept off the lists for two years. If you request, complete, and return the CRA form provided for this purpose, you must be taken off the lists indefinitely.
- You may seek damages from violators. If a CRA, a user or (in some cases) a provider of CRA data, violates the FCRA, you may sue them in state or federal court.

The FCRA gives several different federal agencies authority to enforce the FCRA:

<b>FOR QUESTIONS REGARDING:</b>	<b>PLEASE CONTACT:</b>
CRA's creditors and others not listed below	Federal Trade Commission Consumer Response Center-FCRA Washington, DC 20580 202-326-3761
National banks, Federal branches/agencies of foreign banks (word "National" or initials "N.A" appear in or after banks name)	Office of the Comptroller of the Currency Compliance Management Mail Stop 6-6 Washington, DC 20219 800-613-6743
Federal Reserve System member banks (except national banks, and Federal branches/agencies of foreign banks)	Federal Reserve Board Division of Consumer & Community Affairs Washington, DC 20551 202-452-3693
Savings associations and federally chartered savings banks (word "Federal or initials "F.S.B." appear in federal institutions name")	Office of Thrift Supervision Consumer Programs Washington, DC 20552 800-842-6929
Federal credit unions (words "Federal Credit Union" appear in institution's name)	National Credit Union Administration 1775 Duke Street Alexandria VA 22314 703-518-6360
State chartered banks that are not members of the Federal Reserve System	Federal Deposit Insurance Corp. Div. of Compliance & Consumer Affairs Washington, DC 20429 202-934-FDIC
Air, surface, or rail common carriers regulated by former Civil Aeronautics Board of Interstate Commerce Commission	Department of Transportation Office of Financial Management Washington, DC 20590 202-366-1306
Activities subject to the Packers and Stockyards Act, 1921	Department of the Agriculture Office of Deputy Administrator-GIPSA Washington, DC 20250 202-720-7051

**EXHIBIT G**  
**Audit and Summary Report**

**100% Accountability and Summary Reports**

Full Audit report must include the following information (reprints must have the same information):

1. Program Number/Job Name/Print Order/File Date
2. PC#/Sequence numbers/Total Volume
3. Inserter ID and Operator
4. Date of insertion
5. Start and End time
6. Start and End Range (sequence numbers)
7. Total for each Start and End Range
8. Event (i.e. Processed, Spoiled, Diverted and reason: Missing Piece, Unverified, Misread etc.)
9. Status (i.e. Inserted, Routed to Reprint Area, etc.)
10. Totals
  - a. Machine inserted
  - b. Sent to Reprint
  - c. Reprints Recovered
  - d. Records Accounted For
  - e. Duplicates
  - f. Duplicated Verified
  - g. Records less duplicates
  - h. Reported Output
  - i. Variances

Example:

<b>Audit Report</b>									
<b>Program 123-S/SSA Notices Name/PO#54001/File Date</b>									
<b>PC # and Sequence Numbers and Volume</b>									
Inserter ID	Date	Start Time	End Time	Start Range	End Range	Total	EVENT	STATUS	
Inserter 1	05/10/12	10:31:04 AM	11:12:45 AM	19386	21567	2182	Standard Processing	Inserted	
Operator Joe	05/10/12	11:12:50 AM	11:12:50 AM	21568		1	Diverted	Routed to Reprint	
	05/10/12	11:13:10 AM	11:28:06 AM	21569	22516	948	Standard Processing	Inserted	
	05/10/12	11:28:07 AM	11:28:10 AM	22517	22518	2	Diverted/ leave count unverified	Routed to Reprint	
	05/10/12	11:29:30 AM	11:29:35 AM	22519	22521	3	Diverted/missing piece	Routed to Reprint	
	05/10/12	11:29:45 AM	11:30:15 AM	22522		1	Diverted/manual insertion of pub	Manual Scan	
	05/10/12	11:30:34 AM	11:40:35 AM	22523		1	Diverted/misread	Manual Scan	
<hr/>									
Inserter 2	05/11/12	8:12:50 AM	8:12:50 AM	21568		1	Standard Processing	Inserted	
(REPRINTS)	05/11/12	8:28:07 AM	8:28:10 AM	22517	22518	2	Standard Processing	Inserted	
Operator Sue	05/11/12	8:29:30 AM	8:29:35 AM	22519	22521	3	Standard Processing	Inserted	
<hr/>									
<b>TOTALS</b>									
				Machine Inserted:		26604			
				Sent to Reprints:		582			
				Reprints Recovered:		582			
				Records Accounted for:		27186			
				Duplicates:		16			
				Duplicates Verified:		16			
				Records Less Duplicates:		27170			
				Reported Output:		27170			
				Variance:		0			

**EXHIBIT G**  
**Audit and Summary Report**

The Summary Report must include the following; Reprints must also have all of the same information:

1. Job Name/Print Order
2. Piece Quantity
3. Sequence number range (Start and End Range)
4. Start date and time
5. End date and time
6. Total Processed Pieces
7. Total Reprints
8. Total Pieces Inserted
9. Total Variances
10. Job Complete or Incomplete

<b>Summary Report</b>			
<b><u>Job Information</u></b>		<b><u>Operation Information</u></b>	
Job Name:	XYZ Notice	Start Range:	1
PO #	54001	End Range	35862
Piece Quantity:	35862		
Job Status:	Completed		
Date Created:	05/10/12	10:29:54	
Date Completed:	05/11/12	14:22:34	
<b><u>Statistical Summary</u></b>			
35537 Processed Pieces -		Completed 05/10/12	
325 Processed Reprints -		Completed 05/11/12	
35862 Total Pieces Inserted -		Completed 05/11/12	
0 Variances -		Job Complete	

**SYSTEM PLAN**

TYPE OF PROPOSED MAINFRAME PLATFORM \_\_\_\_\_

TYPE OF PERSONAL COMPUTER \_\_\_\_\_

MEDIA TO BE USED FOR RECEIPT OF FILE TRANSMISSION \_\_\_\_\_

FILE STORAGE MEDIUM \_\_\_\_\_

CYBERFUSION INSTALLED? \_\_\_\_\_

AMOUNT OF AVAILABLE FILE STORAGE SPACE \_\_\_\_\_

TYPE OF PRINT STREAM MAIL RUN CONTROL SYSTEM \_\_\_\_\_

TYPE OF NETWORK PLATFORM (i.e., NOVELL/NT/UNIX) \_\_\_\_\_

**EXHIBIT I**  
**MRD File Specifications**

**Mail Run Data File (MRDF)**  
**Or Item Level Accountability File**

<u>Record Descriptions</u>	<u>Position</u>	<u>Length</u>
Job ID	1 – 5	5
Piece ID	6 – 11	6
Total Pages	12 – 13	2
Select Feeder 2      (0 = No Feed, 1 = Feed)	14	1
Select Feeder 3	15	1
Select Feeder 4	16	1
Select Feeder 5	17	1
Select Feeder 6	18	1
Select Feeder 7	19	1
Select Feeder 8	20	1
Select Feeder 9	21	1
Select Feeder 10	22	1
Vertical Stacker 1    (Seal envelope, do not meter)	23	1
Vertical Stacker 2    (Do not seal envelope, do not meter)	24	1
Vertical Stacker 3    (Overweight)	25	1
Vertical Stacker 4    (Trash)	26	1
Sealer               (0 = No Outsort, 1 = Outsort)	27	1
Meter 1             (0 = Print, 1 = No Print)	28	1
Meter 2	29	1
Customer Name	30	40
Address Line 1	70	40
Address Line 2	110	40
Address Line 3	150	40
Address Line 4	190	40
Address Line 5	230	40
Address Line 6	270	40
Zip Code	310	5
+4	315	4
+2	319	2
Return Name	321	40
Address Line 1	361	40
Address Line 2	401	40
Address Line 3	441	40
Address Line 4	481	40
Account ID	521	16
Input File Name	537	44
IMBC Codes	581	65
Service Type	646	3
IMBC SerialID	649	9
Filler	658	3
User Defined	661	29
Vendor ID	690	4
Code Name	694	5
Total Documents	699	2
End	701	1

NOTE: There is one record for each mail packet.

## EXHIBIT J Sample of Record Layouts

### Samples of Record Layouts

**Simple Layout:**

Record Location	Field Name	Field Size
1-57	Target Name (alpha)	57
58-93	ADDR (alpha)	35
94-128	ADDR1	35
129-163	ADDR2	35
164-198	ADDR3	35
199-207	Ref Number (1 alpha "E" or "N", 8 integers)	9

For cases where the ref number first position code is "E" insert the ADDR field into the text of the letter. For cases where the ref number first position code is "N" insert the target name field into the text of the letter.

**More Complex Layout:**

Order	Record location	Name	Format	Description	Comments
ENGLISH COVER LETTER					
1	1-22	FO ADDR1 <sup>1</sup>	PIC X (22)	MBR/SSR	SRC: DOORS
2	23-44	FO ADDR2 <sup>1</sup>	PIC X (22)		DOORS
3	45-66	FO ADDR3 <sup>1</sup>	PIC X (22)		
4	67-88	FO ADDR4 <sup>1</sup>	PIC X (22)		
5	89-110	FO ADDR5 <sup>1</sup>	PIC X (22)		
6	111-132	FO ADDR CTY ADDR6	PIC X (22)		
7	133-134	STATE <sup>1</sup>	PIC X (2)		
8	135-139	FO ADDR ZIP6 <sup>1</sup> SDRL6	PIC X (05)		

**EXHIBIT J**  
**Sample of Record Layouts**

Order	Record location	Name	Format	Description	Comments
9	140-151	FO TLNO <sup>1</sup>	PIC X (12)	Include hyphens	999-999-9999 If no number than this field will be populated with Zeros
10	152-163	FO TTY <sup>1</sup>	PIC X (12)	Include hyphens	999-999-9999 If no number than this field will be populated with Zeros
11	164-175	FO FAX <sup>1</sup>	PIC X (12)	Include hyphens	999-999-9999 If no number than this field will be populated with Zeros
12	176-185	CURRENT DATE <sup>2</sup>	PIC X (10)	MM/DD/YYYY Current Date + 7 calendar days = Include slashes	99/99/9999
13	186-199	CLAIM Number <sup>3</sup>	PIC X (14)	NH SSN/ the SSN under which a claimant is entitled. This field includes BIC /MFT (Review Controlling Claim) <a href="#">Beneficiary Identification Code used for Title 2</a> <a href="#">Master File Types for SSI (MFT)</a> Includes hyphens	WBDOC unable to Edit file data. all date, phone and other fields that require special characters will be added for their convenience  999-99-9999XXX
14	200-221	PNA LINE 1 <sup>4</sup>	PIC X (22)	MBR : ADDR-ADRLN1	
15	222-243	PNA LINE 2 <sup>4</sup>	PIC X (22)	MBR : ADDR-ADRLN2	
16	244-265	PNA LINE 3 <sup>4</sup>	PIC X (22)	MBR : ADDR-ADRLN3	
17	266-287	PNA LINE 4 <sup>4</sup>	PIC X (22)	MBR: ADDR-ADRLN4	
18	289-309	PNA LINE 5 <sup>4</sup>	PIC X (22)	MBR: ADDR-ADRLN5	
19	310-331	CITY <sup>4</sup>	PIC A (22)	MBR: ADDR-ADRLN5 City	
20	332-333	STATE <sup>4</sup>	PIC A (2)	MBR: ADDR-ADRLN5 State	
21	334-339	ZIP 5 <sup>4</sup>	PIC X (6)	MBR: ADDRZIP SSR STN = STATE AND ZIP Include hyphen if zip 4 exist	99999-
22	340-344	ZIP 4 <sup>4</sup>	PIC X (5)	MBR: ADDR-ZIP ZIP4	9999-

**EXHIBIT J**  
**Sample of Record Layouts**

Order	Record location	Name	Format	Description	Comments
				Include hyphen if ZDPC exist	
23	345-347	ZIP/ZDPC <sup>4</sup>	PIC X (3)	<p>MBR: ADDR-ZIP ZDP</p> <p>ZDPC: ZIP Delivery Point Code- represents last 2 digits of the house or box number and a 1-position control character used as part of the United States Postal Service advanced bar code. PROVIDES FOR DISCOUNT POSTAL COSTS.</p>	<a href="#">MBR 7080 08/31/2010</a>
24	348-362	F-NAME	PIC A (15)	<p>DIRECT RELEASE FILE \ SSN T2\ DIRECT RELEASE FILE \ SSN SSI \ Gupnabd</p>	
25	363	M-INITIAL	PIC A (1)		
26	364-383	L-NAME	PIC A (20)		
27	384-387	SUFFIX	PIC X (4)		
28	388-425	your <sup>5</sup>	PIC A (4)	<p>BENY's = first and last Name (Possessive) First Name 15 (space.) Last Name 20 2 ('s) &amp; and 1 space between first and last name</p>	
		Beny's <sup>5</sup>	PIC X (38)		
29	426-435	Filler	PIC X (10)	Blank spaces	Filler
30		your <sup>6</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's <sup>6</sup>	PIC X (38)		
31		your <sup>7</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's <sup>7</sup>	PIC X (38)		
32		your <sup>8</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's <sup>8</sup>	PIC X (38)		

**EXHIBIT J**  
**Sample of Record Layouts**

Order	Record location	Name	Format	Description	Comments
33		your <sup>9</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's	PIC X (38)		
34	436-442	you are <sup>10</sup>	PIC A (7)		
		he is <sup>10</sup>	PIC A (5)		
		she is <sup>10</sup>	PIC A (6)		
35		your <sup>11</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's <sup>11</sup>	PIC X (38)		
36		you are <sup>12</sup>	PIC A (7)		Refer to Record Location # 436-442
		he is <sup>12</sup>	PIC A (5)		
		she is <sup>12</sup>	PIC A (6)		
37	443-446	your <sup>13</sup>	PIC A (4)		
		his <sup>13</sup>	PIC A (3)		
		her <sup>13</sup>	PIC A (3)		
38	447	Notice Title Indicator Information about medical assistance <sup>14</sup>	PIC A (1)	Y = SSI/T16 & Concurrent N= T-2	
39		your <sup>15</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's <sup>15</sup>	PIC X (38)		
40		your <sup>16</sup>	PIC A (4)		Refer to Record Location # 443-446
		his <sup>16</sup>	PIC A (3)		
		her <sup>16</sup>	PIC A (3)		

**EXHIBIT J**  
**Sample of Record Layouts**

Order	Record location	Name	Format	Description	Comments
41		your <sup>17</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's <sup>17</sup>	PIC X (38)		
42	448-450	you <sup>18</sup>	PIC A (3)		
		him <sup>18</sup>	PIC A (3)		
		her <sup>18</sup>	PIC A (3)		
43		your <sup>19</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's <sup>19</sup>	PIC X (38)		
44		your <sup>20</sup>	PIC A (4)		Refer to Record Location # 388-425
		Beny's <sup>20</sup>	PIC X (38)		

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**Exhibit L**  
**References for External Service Providers (ESP)**

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References for External Service Providers (ESP)

- Federal Information Security Management Act (FISMA) of 2002.
- Clinger-Cohen Act of 1996 also known as the “Information Technology Management Reform Act of 1996.”
- Privacy Act of 1974 (5 U.S.C. § 552a).
- Homeland Security Presidential Directive (HSPD-12), “Policy for a Common Identification Standard for Federal Employees and Contractors”, August 27, 2004.
- Office of Management and Budget (OMB) Circular A-130, “Management of Federal Information Resources”, and Appendix III, “Security of Federal Automated Information Systems”, as amended.
- OMB Memorandum M-04-04, “E-Authentication Guidance for Federal Agencies.”
- FIPS PUB 199, “Standards for Security Categorization of Federal Information and Information Systems.”
- FIPS PUB 200, “Minimum Security Requirements for Federal Information and Information Systems.”
- FIPS PUB 140-2, “Security Requirements for Cryptographic Modules.”
- NIST Special Publication 800-18, “Guide for Developing Security Plans for Federal Information Systems.”
- NIST Special Publication 800-30, “Risk Management Guide for Information Technology Security Risk Assessment Procedures for Information Technology Systems.”
- NIST Special Publication 800-34, “Contingency Planning Guide for Information Technology Systems.”
- NIST SP 800-37 “Guide for the Security Certification and Accreditation of Federal Information Systems.”
- NIST Special Publication 800-47, “Security Guide for Interconnecting Information Technology Systems.”
- NIST Special Publication 800-53, “Recommended Security Controls for Federal Information Systems.”
- NIST Special Publication 800-53A, “Guide for Assessing the Security Controls in Federal Information Systems, ”CIO Council’s Federal Identity, Credential, and Access Management (FICAM) Roadmap and Implementation Guidance.”
- NIST Special Publication 800-60.
- OMB M-07-16, AIMS Chapter 15: Personally Identifiable Information (PII) Loss and Remediation

FedRAMP 3PAO Obligations and Performance  
Guide



Version 1.0

July 29, 2015

**Exhibit M**  
**Third Party Assessment Organization (3PAO) Documents**

FedRAMP 3PAO Obligations and Performance Guide

### Revision History

Date	Version	Page(s)	Description	Author
07/29/2015	1.0	All	Initial Publication	FedRAMP

### How to Contact Us

For questions about FedRAMP or this document, email to [info@fedramp.gov](mailto:info@fedramp.gov).

For more information about FedRAMP, visit the website at <http://www.fedramp.gov>.

FedRAMP 3PAO Obligations and Performance Guide

## **1. INTRODUCTION**

The Federal Risk and Authorization Management Program (FedRAMP) created a conformity assessment process to accredit Third-Party Assessment Organizations (3PAOs) to ensure that 3PAOs meet quality, independence, and knowledge requirements necessary to perform the independent security assessments required for FedRAMP. To maintain accreditation, 3PAOs must continue to demonstrate quality, independence, and FedRAMP knowledge as they perform security assessments on cloud systems.

## **2. 3PAO ACCREDITATION STANDARDS**

3PAO accreditation by FedRAMP includes an assessment by the American Association for Laboratory Accreditation (A2LA). A2LA performs an initial assessment of each 3PAO required for accreditation by FedRAMP, a yearly surveillance, and a full re-assessment every 2 years for continued accreditation.

The A2LA assessment ensures that 3PAOs meet the FedRAMP requirements of ISO 17020 (as revised) and FedRAMP specific knowledge requirements related to the FedRAMP Security Assessment Framework. The A2LA provides an assessment report to FedRAMP that documents the 3PAO:

- Is competent to perform inspections of Cloud Service Provider (CSP) documents
- Has a documented and fully operational quality system
- Quality system meets the standards of ISO/IEC 17020-2012
- Is operating in accordance with its quality system

A2LA also assesses 3PAOs with specific FedRAMP and FISMA knowledge. A 3PAO must demonstrate technical competence through reviews of System Security Plans, creation of a Security Assessment Plan, and documenting the results in Security Assessment Test Cases as well as a Security Assessment Report.

## **3. 3PAO OBLIGATIONS**

FedRAMP requires all 3PAOs to adhere strictly and continuously to the FedRAMP accreditation requirements and follow their ISO 17020 quality manual as described in their application and evaluated by A2LA. Among these requirements, a few key items are:

- The 3PAO must be independent from any CSP they assess. A 3PAO is only allowed to be a Type A or type C Inspection Body.
- All the assessment work that 3PAOs perform for CSPs must meet a high standard of independence and performance, especially quality, completeness, and timeliness.
- 3PAOs must demonstrate knowledge of FISMA and FedRAMP specific requirements when conducting their assessments.

3PAOs must continuously meet and demonstrate they are performing in accordance with these standards, which they demonstrated in their A2LA assessment. If a 3PAO has any questions on these matters, they should consult with FedRAMP.

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**Third Party Assessment Organization (3PAO) Documents**

FedRAMP 3PAO Obligations and Performance Guide

During a FedRAMP assessment, 3PAOs produce the following documents as a part of the overall security authorization package submitted for authorization to a government Authorizing Official:

- Security Assessment Plans (SAP)
  - Inventories
  - Rules of Engagement
- Security Assessment Reports (SAR)
  - Security Assessment Test Case Workbook
  - Risk Exposure Table
  - Penetration Test Report
  - Vulnerability Scan Data Files
  - Test Artifacts

These 3PAO documents must meet the following standards, reflective of their FedRAMP accreditation:

FedRAMP Standard	Details
Completeness	Complete and thoroughly prepared documents are expected on first submission. If any issues are identified, the 3PAO shall quickly and efficiently respond to the comments, and incorporate updates to resolve all the comments.
Timeliness	Documents are delivered on time, according to the schedule agreed to between the government, the CSP, and the 3PAO.
Standard templates	Documents are prepared using the most recent standard templates, without alterations or deletions, and insertions must be agreed upon.
Document Quality and Acceptance Criteria	The 3PAO must meet all quality and acceptance criteria as published by FedRAMP on the fedramp.gov website.
Testing Quality	Complete and accurate testing is an essential responsibility of a 3PAO. This responsibility derives from the 3PAO's A2LA assessment and the FedRAMP requirements for the highest quality testing.

Failure of a 3PAO to perform according to these standards affects the government's ability to authorize based on a 3PAO's assessment. FedRAMP will pursue corrective actions and possible removal of accreditations if 3PAO products do not meet the above standards.

#### **4. 3PAO PERFORMANCE**

The government evaluates all 3PAO products, and expects superior quality and performance. Quality is expected across the government, regardless of whether a 3PAO is working directly with the FedRAMP PMO or JAB. In the event that a 3PAO's performance is not meeting

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**Third Party Assessment Organization (3PAO) Documents**

FedRAMP 3PAO Obligations and Performance Guide

standards, FedRAMP has the authority and responsibility to pursue corrective actions, including the following:

FedRAMP Action	Details
Consultation	<p>If a 3PAO has minor deficiencies in their performance:</p> <ul style="list-style-type: none"> <li>• FedRAMP will require a meeting with 3PAO representatives to discuss the specific deficiencies in the 3PAO’s performance.</li> <li>• This will result in an internal Corrective Action Plan (CAP) being developed by the 3PAO and submitted to FedRAMP.</li> <li>• The CAP will be shared with A2LA during the 3PAOs next assessment.</li> </ul>
Remediation	<p>If a 3PAO has deficiencies in their performance or fails to complete the internal CAP:</p> <ul style="list-style-type: none"> <li>• A letter will be sent from the FedRAMP Director to the 3PAO notifying the 3PAO of specific deficiencies in 3PAOs performance.</li> <li>• This letter would also inform that the 3PAO’s status is “In Remediation” and noted as such on <a href="http://www.FedRAMP.gov">www.FedRAMP.gov</a>.</li> <li>• This letter will also require a 3PAO to provide a formal CAP to be submitted to FedRAMP within 7 days.</li> <li>• The CAP would need to include specific dates and actions for a 3PAO to complete in response the deficiencies noted in the letter from the FedRAMP Director.</li> <li>• As a part of this CAP, FedRAMP may require a re-assessment by A2LA for validation of the successful completion of the Corrective Action Plan.</li> </ul>
Revocation	<p>If a 3PAO has severe deficiencies in their performance or fails to complete a formal CAP from a “In Remediation” Status:</p> <ul style="list-style-type: none"> <li>• A letter will be sent from the FedRAMP Director to the 3PAO notifying the 3PAO of specific deficiencies in 3PAOs performance and that the 3PAO’s status is being revoked and removed from the accredited list on <a href="http://www.FedRAMP.gov">www.FedRAMP.gov</a>.</li> <li>• Revocations will last for a minimum of 6 months.</li> <li>• Revoked vendors are no longer authorized to provide assessment services to FedRAMP CSPs.</li> <li>• If 3PAO wishes to continue to be accredited, FedRAMP will require a 3PAO to commit to a formal CAP or revised CAP if revocation is due to failure to complete a CAP while in remediation status.</li> <li>• The CAP must include specific dates and actions for a 3PAO to correct the deficiencies noted in the letter from the FedRAMP Director and must be approved by the FedRAMP</li> </ul>

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**Third Party Assessment Organization (3PAO) Documents**

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FedRAMP Action	Details
	<p>Director.</p> <ul style="list-style-type: none"><li>• FedRAMP will require a re-assessment by A2LA for validation of the successful completion of the Corrective Action Plan.</li></ul>

## 5. REFERENCES

The following documents are references 3PAOs should review and incorporate in to their quality systems. These references will have regular updates as FedRAMP provides additional clarity and expectations.

- FedRAMP General Document Acceptance Criteria: The *FedRAMP General Document Acceptance Criteria* details general acceptance criteria for documents submitted to FedRAMP focused on clarity, completeness, conciseness, and consistency. Technical content is not addressed by these acceptance criteria.
- SAP Review Checklist: The *SAP Checklist* is a document that lists review items for SAP documents, specific to the SAP subject matter.
- SAR Review Checklist: The *SAR Checklist* is a document that lists review items for SAR documents, specific to the SAR subject matter.

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**Third Party Assessment Organization (3PAO) Documents**

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**APPENDIX A: TABLE OF ACRONYMS**

<b>Acronym</b>	<b>Meaning</b>
3PAO	Third-Party Assessment Organization
A2LA	American Association for Laboratory Accreditation
AO	Authorizing Official
ATO	Authority to Operate
CAP	Corrective Action Plan
CSP	Cloud Service Provider
FedRAMP	Federal Risk and Authorization Management Program
JAB	Joint Authorization Board
P-ATO	Provisional Authority to Operate
PMO	Program Management Office
SAP	Security Assessment Plan
SAR	Security Assessment Report